



## Restricted Clearing Trading Permit Holder OCC Number 671

**Reference ID:** C2019120201

### Overview

Pursuant to Cboe Options (“Cboe Options” or the “Exchange”) Rule 5.10, Clearing Trading Permit Holders (TPHs) may request the Exchange restrict their OCC clearing number(s) from being used for give-up purposes by other TPHs by “Opting In” to the list of restricted give-up firms on the Exchange. Such Opt In requests must be submitted to the Exchange by the clearing TPH using the necessary paperwork located [here](#).

If a Clearing TPH Opt Into the restricted give-up firm list, the Exchange will require written authorization from that Clearing TPH in order to permit another TPH to give up a Restricted OCC Number.

If a Clearing TPH does not Opt In, that Clearing TPH’s OCC number(s) may be given-up by any other TPH organization on the Exchange.

A list of Restricted Clearing OCC numbers and firms has been posted on the Exchange Website, [markets.cboe.com](http://markets.cboe.com), located [here](#).

### Clearing TPH Update

The Exchange would like to inform TPHs that Merrill Lynch, Pierce, Fenner & Smith Inc. has restricted its OCC Clearing Number 671, effective January 21, 2020. As of that date, any TPH not approved by Merrill Lynch, Pierce, Fenner & Smith Inc. will no longer be able to use OCC Number 671 as a Give-Up.

### More Information

Please contact Membership Services with any questions you may have regarding Cboe Options Rule 5.10 and Clearing TPH restrictions.

We appreciate your business and remain committed to powering your potential with Cboe products, technologies and solutions.

#### **Membership Services**

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