



## Restricted Clearing Trading Permit Holder OCC Numbers

Reference ID: C2019102400

### 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 Trading Permit Holder's OCC number(s) may be given-up by any other TPH organization on the Exchange.

The Exchange would like to inform Trading Permit Holders that Pershing LLC has restricted its OCC Clearing Number 443, effective November 4, 2019. As of that date, any TPH not approved by Pershing LLC will no longer be able to use OCC Number 443 as a Give-Up.

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

### 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**

312.786.7449

[MembershipServices@cboe.com](mailto:MembershipServices@cboe.com)