



## Restricted Clearing Member OCC Number 443 on EDGX Options Exchange

**Reference ID:** C2020011502

### **Overview**

Pursuant to EDGX Options (“EDGX Options” or the “Exchange”) Rule 21.12, Clearing Members (CMs) may request the Exchange restrict their OCC clearing number(s) from being used for give-up purposes by other Members 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 CMs using the necessary paperwork located [here](#).

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

If a CM does not opt In, that CM’s OCC number(s) may be given-up by any other Member 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 Member Update**

The Cboe EDGX Exchange, Inc would like to inform Members that Pershing LLC has restricted its OCC Clearing Number 443 effective April 13, 2020. As of that date, any Member not approved by Pershing LLC will no longer be able to use OCC Number 443 as a Give-Up.

### **More Information**

Please contact Membership Services with any questions you may have regarding EDGX Options Rule 21.12 and CM restrictions.

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

#### **Membership Services**

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