



# OPTIONS CLEARING MEMBER RESTRICTION FORM

To be completed by a Clearing Member to restrict an Options Clearing Corporation (“OCC”) registered clearing number for give up business on IEX Options LLC (the “Exchange”). This Options Clearing Member Restriction Form is delivered in connection with, and shall constitute a part of, the undersigned’s IEX User Agreement with the Exchange. All capitalized terms used herein that are not defined in this Options Clearing Member Restriction Form shall have the respective meanings given to them in the IEX User Agreement and IEX Rule Book, as applicable.

| Exchange Clearing Member Information   |       |
|--|-------|
| Clearing Member Name:  | _____ |
| OCC Number:  | _____ |
| CRD#:  | _____ |
| <p>In accordance with Exchange Rules, the Clearing Member listed above authorizes the Exchange to restrict the OCC number listed above and require prior authorization for its use as a give up on the Exchange.</p> <p>By executing this Options Clearing Member Restriction Form, the Clearing Member grants the Exchange permission to publish the Clearing Member’s restricted OCC number on the Exchange’s website for purposes of providing notice to other Options Members that the Clearing Member’s OCC number will not be available for give up without clearing authorization.</p> <p>A separate Options Clearing Member Restriction Form is required for each restricted OCC number.</p> <p>Once an OCC number is marked as restricted, no Exchange Member will be able to use that restricted OCC number unless they are authorized by the Clearing Member pursuant to the applicable Exchange Rules.</p> <p>To authorize or revoke an Exchange Member’s use of a restricted OCC number, please submit the <a href="#">Authorization or Revocation of Restricted Clearing Number Form</a> to <a href="mailto:OptionsMktOps@iextrading.com">OptionsMktOps@iextrading.com</a></p> |       |

Authorized Signature: \_\_\_\_\_  
Print Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_



Clearing Member Contact Information for Authorization (to be provided to market participants):

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

*Please return to Market Operations via email at [OptionsMktOps@iextrading.com](mailto:OptionsMktOps@iextrading.com).*