



101 Arch Street  
Suite 610  
Boston, MA USA 02110  
(617) 235-2323

## Trading Participant Clearing Guarantee (Market Maker)

Return to: Boston Options Exchange Regulation LLC  
Attn: Joseph Dalton  
101 Arch Street, Suite 610  
Boston, MA 02110  
Fax: 617 235-2355

From: OCC Clearing Member \_\_\_\_\_  
OCC Clearing Number \_\_\_\_\_

Re: BOX Participant \_\_\_\_\_  
BOX Participant Account \_\_\_\_\_  
Acronyms \_\_\_\_\_

The BOX Participant mentioned above has represented to the undersigned Clearing Member of the Options Clearing Corporation ("OCC"), that it is a registered Participant of the Boston Options Exchange ("BOX") with full trading rights including trading for its own account, acting as Market Maker and submitting and executing orders as agent on behalf of customers.

Pursuant to the trading of the above referenced BOX Participant on the BOX Market and Chapter V, Section 23 and Chapter VI, Section 8 of the BOX Rules, the undersigned OCC Clearing Member accepts financial responsibility for all BOX Market Transactions made by the above-referenced Participant when executing such transactions through the undersigned Clearing Member. This letter shall be deemed to be a Letter of Guarantee pursuant to Chapter V, Section 23 and Chapter VI, Section 8 of the BOX Rules and shall remain in effect until a written notice of revocation has been filed with the Exchange.

So long as a written notification is received by 5:00 p.m. (Eastern Time), the revocation shall become effective the next trade day or such later date as is specified on the written notification. If the Clearing Member wants a revocation to be effective the next trade day, it shall also contact the BOX Market Operations Center at (866) 768-8845 to confirm receipt of the notification. Any such revocation shall in no way relieve the undersigned OCC Clearing Member of responsibility for Exchange Transactions guaranteed prior to the effective date of such revocation.

Agreed and signed this date: \_\_\_\_\_  
OCC Clearing Member  
Representative Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

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