

To: NASDAQ Regulation

From: _____

Member Name: _____

Re: NASDAQ Options Market Self Clearing Member Letter of Guarantee

The Member noted above is a registered self clearing member of the NASDAQ Options Market. In accordance with Chapter VII, Section 8 of the NASDAQ Options Market Rules the Member accepts financial responsibility for all NASDAQ Options Market Exchange transactions made by the them Member. This letter shall be deemed to be a Letter of Guarantee and shall remain in effect until a written notice of revocation has been filed with the Exchange. Any such revocation shall in no way relieve the Member of responsibility for Exchange transactions guaranteed prior to the effective date of the revocation.

Accepted and agreed to this date: _____

Member Representative (signature): _____

Member Representative (print name): _____

Member Representative (title): _____

Member Representative (phone number): _____

Member OCC Number: _____

Return to:

NASDAQ Options Market
Membership Department
1735 K Street, NW
Washington, DC 20006-1506
Attention: Deb Siluk – NASDAQ Options Market
Fax: 202 – 728 8341 Email: NQXMbrAppPro@finra.org