

THE OPTIONS CLEARING CORPORATION

POLICY STATEMENT

Back-Up Communication Channel to Internet Access

Purpose. The Options Clearing Corporation (“OCC”) hosts and maintains a Secure Website providing Clearing Members with on-line access to various applications and services offered by OCC through the Internet via the URL <http://www.myocc.com>. OCC has determined that it is critical for Clearing Members relying upon the Internet for access to such applications and services to maintain a secure back-up to Internet access (the “Back-Up Communication Channel”) in order to be able to perform critical business activities in a timely manner even in the event of an Internet outage. This Policy Statement sets forth the OCC-approved Back-Up Communication Channels. It may be amended from time to time.

Policy. Clearing Members accessing the Secure Website through an Internet connection must: (a) maintain separate service agreements with at least two (2) independent Internet Service Providers; and (b) establish a secure Back-Up Communication Channel, as set forth below, that is applicable to the Category that best describes the Clearing Member’s Business Profile:

Business Profile	Back-Up Communication Channel
Category A	
<ul style="list-style-type: none">• Ranks in the top 25 Clearing Members with the highest cleared volume during a calendar year• Acts as Facilities Manager to one or more Clearing Firms	T1 Line
Category B	
<ul style="list-style-type: none">• For all those not in Category A	T1 Line, Fax, Telephone, or OCC Offices ¹

The Business Profiles set forth above are intended to serve as guidelines of the types of criteria that will be used by OCC to determine the Back-Up Communication Channel applicable to a particular Clearing Member. OCC staff will be available to discuss the Business Profile that best fits a particular Clearing Member taking into consideration the transaction volume and account activity of the Clearing Member. Notwithstanding the foregoing, OCC reserves the right to determine, in its sole discretion, the Back-Up Communication Channel applicable to a specific Clearing Member. In addition, OCC may periodically review the Business Profile of a Clearing Member and require changes to its existing Back-Up Communication Channel so as to comply with the guidelines described above.

Certification. Clearing Members are required to certify compliance with this Policy Statement

¹ Smaller firms that rely solely on the Internet can utilize OCC equipment if the clearing member is located in or near a city where OCC maintains operational centers.

on an annual basis, and shall include in such certification: (i) a statement that the Clearing Member has been and continues to be in compliance with the Policy Statement since the last reporting period; and (ii) a statement that the clearing member has successfully tested its ability to access OCC's information and data systems using its Back-Up Communication Channel since the last reporting period. Each Clearing Member shall further notify OCC within a reasonable period of any changes to their Internet Service Providers since the date of the last notice provided to OCC under this Policy.