

OCC Proposed Rule Change and Advance Notice Filing Report – Q4 2016 to Present

Proposed Rule Changes

| Filing Number | Filing Date | Description | Current Status ¹ |
|-----------------|-------------|---|----------------------------------|
| SR-OCC-2024-006 | 5/02/2024 | Proposed Rule Change by The Options Clearing Corporation Concerning Amendments to Its Rules and Comprehensive Stress Testing & Clearing Fund Methodology, and Liquidity Risk Management Description | Pending |
| SR-OCC-2024-005 | 5/8/2024 | Proposed Rule Change by The Options Clearing Corporation Concerning Modifications to its Board Charter and Risk Committee Charter to Align With Recently Adopted CFTC Governance Requirements for Derivatives Clearing Organizations | Immediately Effective |
| SR-OCC-2024-004 | 4/03/2024 | Proposed Rule Change to Update the Options Clearing Corporation Operational Loss Fee Pursuant to Its Capital Management Policy. | Immediately Effective |
| SR-OCC-2024-003 | 2/20/2024 | Proposed Rule Change by The Options Clearing Corporation Concerning Interpretative Guidance on Contract Adjustments for Cash Dividends and Distributions | Immediately Effective |
| SR-OCC-2024-002 | 1/10/2024 | Proposed Rule Change Concerning Modifications to OCC Rules, By-Laws, and certain Clearing Member Documents in Connection with the Recently Adopted Amendments to Commission Rule 15c6-1(a). | Approved; Pending Implementation |
| SR-OCC-2024-001 | 1/10/2024 | Proposed Rule Change by Concerning Its Process for Adjusting Certain Parameters in Its Proprietary System for Calculating Margin Requirements During Periods When the Products It Clears and the Markets It Serves Experience High Volatility | Pending |
| SR-OCC-2023-008 | 12/04/2023 | Proposed Rule Change Concerning Modifications to the Collateral Risk Management Policy and Margin Policy. | Immediately Effective |

¹ Status of the proposed rule change filed with the U.S. Securities & Exchange Commission (“SEC”). Proposed rule changes filed for immediate effectiveness with the SEC are implemented after the review period for OCC’s certification to the Commodity Futures Trading Commission (“CFTC”), or such later implementation date as provided in the filing.

| Filing Number | Filing Date | Description | Current Status ¹ |
|---|--|--|----------------------------------|
| SR-OCC-2023-007 Amendment 1 Amendment 2 | 8/10/2023 11/08/2023 1/23/2024 | Proposed Rule Change Concerning Modifications to the Amended and Restated Stock Options and Futures Settlement Agreement Between The Options Clearing Corporation and the National Securities Clearing Corporation | Approved; Pending Implementation |
| SR-OCC-2023-006 Resubmission 1 Resubmission 2 | 7/21/2023 7/27/2023 8/3/2023 | Proposed Rule Change Concerning Amendments to The Options Clearing Corporation's Capital Management Policy and Cash and Investment Management Policy. | Immediately Effective |
| SR-OCC-2023-005 Amendment 1 | 06/07/2023 7/28/2023 | Proposed Rule Change By The Options Clearing Corporation Concerning the Amendment of its Recovery and Orderly Wind-Down Plan. | Approved |
| SR-OCC-2023-004 | 04/27/2023 | Proposed Rule Change by The Options Clearing Corporation concerning OCC's Model Risk Management Policy. | Approved |
| SR-OCC-2023-003 | 03/21/2023 | Proposed rule change by The Options Clearing Corporation concerning Clearing Member cybersecurity obligations. | Pending |
| SR-OCC-2023-002 Resubmission 1 Resubmission 2 | 02/07/2023 02/15/2023 03/03/2023 | Proposed Rule Change by The Options Clearing Corporation Concerning the Amendments of its Clearing Membership Standards. | Approved |
| SR-OCC-2023-001 | 02/07/2023 | Proposed rule change to update The Options Clearing Corporation's Operational Loss Fee in its schedule of fees pursuant to its Capital Management Policy. | Immediately Effective |
| SR-OCC-2022-012 | 12/05/2022 | Proposed Rule Change by The Options Clearing Corporation Concerning Collateral Haircuts and Standards for Clearing Banks and Letters of Credit. | Approved |
| SR-OCC-2022-011 | 10/24/2022 | Proposed Rule Change by The Options Clearing Corporation Concerning Corrections to Its By-Laws | Immediately Effective |
| SR-OCC-2022-010 | 9/6/2022 | Proposed Rule Change by The Options Clearing Corporation Concerning a Risk Management Framework and Corporate Risk Management Policy | Approved |

| Filing Number | Filing Date | Description | Current Status¹ |
|---------------------------------------|------------------------|--|-----------------------------------|
| SR-OCC-2022-009 Amendment 1 | 7/18/2022 8/10/2022 | Proposed Rule Change by The Options Clearing Corporation Concerning One Multiplier Options | Approved |
| SR-OCC-2022-008 | 5/25/2022 | Proposed Rule Change Concerning Adoption of a Cybersecurity Attestation Program | Immediately Effective |
| SR-OCC-2022-007 | 5/24/2022 | Proposed Rule Change Concerning the Implementation of Changes to Settlement Timing Previously Approved in File No. SR-OCC-2022-004 | Effective upon Filing |
| SR-OCC-2022-006 | 3/25/2022 | Proposed Rule Change by The Options Clearing Corporation Concerning Weekly Options and Short Term Options | Immediately Effective |
| SR-OCC-2022-005 | 3/22/2022 | Proposed Rule Change by OCC would: (i) amend OCC Rule 1111(e) to clarify the nature of the claim issued to Clearing Members that receive a pro rata payment as a result of a Partial Tear-Up; and (ii) amend OCC Rule 1111(g) to impose a limit on the amount of the special charge that can be levied on Clearing Members to re-allocate losses, costs and fees among resulting from a Partial Tear-Up among all non-defaulting Clearing Members. | Approved |
| SR-OCC-2022-004 Amendment 1 | 3/21/2022 5/5/2022 | Proposed Rule Change by OCC would revise the required settlement time from 9:00 am Central Time to 8:00 am Central Time. | Approved |
| SR-OCC-2022-003 | 3/16/2022 | Proposed Rule Change by The Options Clearing Corporation Concerning Cash-Settled FLEX ETF Options | Approved |
| SR-OCC-2022-002 | 2/7/2022 | Proposed Rule Change Concerning OCC's Governance Arrangements | Approved |
| SR-OCC-2022-001 | 1/24/2022 | Proposed Rule Change Concerning The Options Clearing Corporation's Margin Methodology for Incorporating Variations in Implied Volatility | Approved |
| SR-OCC-2021-014 | 12/23/2021 | Proposed Rule Change Concerning The Options Clearing Corporation's Cash and Investment Management | Approved |

| Filing Number | Filing Date | Description | Current Status ¹ |
|-----------------------------------|-----------------------|--|-----------------------------|
| SR-OCC-2021-013 | 12/15/2021 | Proposed Rule Change to Update The Options Clearing Corporation's Operational Loss Fee Pursuant to Its Capital Management Policy | Immediately Effective |
| SR-OCC-2021-012 | 11/03/2021 | Proposed Rule Change to Correct an Inadvertent Omission in a Prior Proposed Rule Change Concerning the Options Clearing Corporation's Schedule of Fees | Immediately Effective |
| SR-OCC-2021-011 | 10/6/2021 | Proposed Rule Change Concerning the Interest Rates Used for Options Pricing in the STANS Methodology Description | Immediately Effective |
| SR-OCC-2021-010 | 10/6/2021 | Proposed Rule Change Concerning Revisions to the Titles of Certain Options Clearing Corporation Personnel. | Approved |
| SR-OCC-2021-009 | 9/28/2021 | Proposed Rule Change to Revise The Options Clearing Corporation's Schedule of Fees | Immediately Effective |
| SR-OCC-2021-008 | 8/6/2021 | Proposed rule change to make technical changes to the By-Laws and Rules of the Options Clearing Corporation | Immediately Effective |
| SR-OCC-2021-007 | 7/30/2021 | Proposed rule change concerning The Options Clearing Corporation's governance arrangements | Approved |
| SR-OCC-2021-006 | 5/05/2021 | Proposed Rule Change to Revise The Options Clearing Corporation's Schedule of Fees | Immediately Effective |
| SR-OCC-2021-005 | 4/29/2021 | Proposed Rule Change Concerning The Options Clearing Corporation's Synthetic Futures Model | Immediately Effective |
| SR-OCC-2021-004 | 3/19/2021 | Proposed Rule Change Relating to Revisions to OCC's Auction Participation Requirements | Approved |
| SR-OCC-2021-003 | 2/10/2021 | Proposed rule change to establish The Options Clearing Corporation's persistent skin-in-the-game | Approved |
| SR-OCC-2021-002 Resubmission 1 | 1/8/2021 1/13/2021 | Proposed rule change relating to revisions to Part 39 of the Commodity Futures Trading Commission regulations | Immediately Effective |

| Filing Number | Filing Date | Description | Current Status ¹ |
|---|--|--|-----------------------------|
| SR-OCC-2021-001 Resubmission 1 | 1/6/2021 1/8/2021 | Proposed rule change to implement a change in the maximum contingent Operational Loss Fee listed in OCC's schedule of fees in accordance with OCC's Capital Management Policy. | Immediately Effective |
| SR-OCC-2020-016 Resubmission 1 | 12/7/2020 12/9/2020 | Proposed rule change concerning The Options Clearing Corporation's System for Theoretical Analysis and Numerical Simulation ("STANS") Methodology Documentation. | Approved |
| SR-OCC-2020-015 | 12/2/2020 | Proposed rule change concerning the implementation of new Sufficiency Scenarios in The Options Clearing Corporation's stress testing inventory. | Approved |
| SR-OCC-2020-014 Resubmission 1 Resubmission 2 | 10/28/2020 11/02/2020 11/04/2020 | Proposed rule change to adopt a Third-Party Risk Management Framework and retire the Counterparty Credit Risk Management Policy. | Approved |
| SR-OCC-2020-013 Resubmission 1 Resubmission 2 Resubmission 3 Amendment 1 | 7/17/2020 7/20/2020 10/09/2020 10/20/2020 11/18/2020 | Proposed rule change to update OCC's Recovery and Orderly Wind-Down Plan | Approved |
| SR-OCC-2020-012 | 9/30/2020 | Proposed rule change concerning The Options Clearing Corporation's Synthetic Futures Model. | Immediately Effective |
| SR-OCC-2020-011 Resubmission 1 | 9/16/2020 9/22/2020 | Proposed rule change to adopt a new Second Amended and Restated Cross-Margining Agreement between OCC and the Chicago Mercantile Exchange. | Approved |
| SR-OCC-2020-010 | 8/7/2020 | Proposed rule change concerning the commingling of certain non-customer margin assets with Clearing Fund contributions in The Options Clearing Corporation's account at the Federal Reserve Bank of Chicago. | Approved |
| SR-OCC-2020-009 | 7/31/2020 | Proposed Rule Change to Revise The Options Clearing Corporation's Schedule of Fees | Immediately Effective |

| Filing Number | Filing Date | Description | Current Status¹ |
|------------------------|--------------------|---|-----------------------------------|
| SR-OCC-2020-008 | 7/14/2020 | Proposed Rule Change to Enhance The Options Clearing Corporation's Stock Loan Close-Out Process | Approved |
| SR-OCC-2020-007 | 7/10/2020 | Proposed Rule Change Concerning The Options Clearing Corporation's Synthetic Futures Model. | Immediately Effective |
| SR-OCC-2020-006 | 5/27/2020 | Proposed rule change to make administrative updates to The Options Clearing Corporation's risk management policies. | Immediately Effective |
| SR-OCC-2020-005 | 5/19/2020 | Proposed rule change to extend the deadline for Clearing Members to provide an Actionable Identifier on customer and non-customer securities options trades other than market maker trades. | Immediately Effective |
| SR-OCC-2020-004 | 4/6/2020 | Proposed Rule Change to modify the sequence for processing options transactions. | Approved |
| SR-OCC-2020-003 | 4/6/2020 | Proposed rule change related to proposed changes to The Options Clearing Corporation's framework for liquidity risk management. | Approved |
| SR-OCC-2020-002 | 3/24/2020 | Proposed rule change to update The Options Clearing Corporation's Operational Loss Fee in its schedule of fees pursuant to its Capital Management Policy. | Immediately Effective |
| SR-OCC-2020-001 | 1/14/2020 | Proposed rule change to modify The Options Clearing Corporation's fees for exercise notices submitted after the deadlines and to change the deadline for submitting a late exercise notice on non-expiration dates. | Approved |
| SR-OCC-2019-011 | 12/6/2019 | Proposed rule change concerning an Agreement for Clearing and Settlement Services between The Options Clearing Corporation and Small Exchange, Inc. | Immediately Effective |

| Filing Number | Filing Date | Description | Current Status¹ |
|---|------------------------|---|-----------------------------------|
| SR-OCC-2019-010 | 10/10/2019 | Proposed rule change concerning proposed changes to The Options Clearing Corporation's Rules, Margin Policy, Margin Methodology, Clearing Fund Methodology Policy, and Clearing Fund and Stress Testing Methodology to address Specific Wrong-Way Risk. | Approved |
| SR-OCC-2019-009 | 10/10/2019 | Proposed rule change concerning The Options Clearing Corporation's Rules, Clearing Fund Methodology Policy, and Clearing Fund and Stress Testing Methodology. | Approved |
| SR-OCC-2019-008 | 9/25/2019 | Proposed rule change to establish The Options Clearing Corporation's Regulatory Committee and adopt The Options Clearing Corporation Regulatory Committee Charter. | Approved |
| SR-OCC-2019-007 Amendment No. 1 | 8/9/2019 9/11/2019 | Proposed rule change concerning a proposed Capital Management Policy that would support The Options Clearing Corporation's function as a Systemically Important Financial Market Utility | Approved |
| SR-OCC-2019-006 | 7/12/2019 | Proposed rule change to make administrative updates to the Options Clearing Corporation's Risk Management Policies. | Immediately Effective |
| SR-OCC-2019-005 Resubmission 1 | 6/28/2019 6/28/2019 | Proposed rule change related to The Options Clearing Corporation's Vanilla Option Model and Smoothing Algorithm. | Approved |
| SR-OCC-2019-004 | 4/18/2019 | Proposed rule change related to the introduction of a new Liquidation Cost Model in The Options Clearing Corporation's Margin Methodology. | Approved |
| SR-OCC-2019-003 | 3/20/2019 | Proposed rule change to require that an Actionable Identifier be included on Customer and Non-Customer securities options trades other than Market Maker trades. | Approved |

| Filing Number | Filing Date | Description | Current Status¹ |
|--|------------------------------------|---|-----------------------------------|
| SR-OCC-2019-002 | 3/18/2019 | Proposed rule change related to The Options Clearing Corporation's margin methodology for Volatility Index Futures. | Approved |
| SR-OCC-2019-001 | 3/8/2019 | Proposed rule change to revise The Options Clearing Corporation's Schedule of Fees. | Immediately Effective |
| SR-OCC-2018-015 Amendment No. 1 | 12/20/2018 2/1/2019 | Proposed rule change concerning changes to The Options Clearing Corporation's management structure. | Approved |
| SR-OCC-2018-014 Amendment No. 1 | 10/22/2018 10/30/2018 | Proposed rule change related to The Options Clearing Corporation's margin methodology for incorporating variations in implied volatility. | Approved |
| SR-OCC-2018-013 Resubmission 1 | 10/18/2018 10/26/2018 | Proposed rule change to extend term limits for Member Directors serving on The Options Clearing Corporation's Board of Directors. | Approved |
| SR-OCC-2018-012 | 8/24/2018 | Proposed rule change concerning amendments to The Options Clearing Corporation's Board of Directors and Board Committee Charters. | Approved |
| SR-OCC-2018-011 | 7/24/2018 | Proposed rule change to make clarifying and conforming changes to The Options Clearing Corporation's Margins Methodology and Margin Policy. | Immediately Effective |
| SR-OCC-2018-010 | 7/16/2018 | Proposed rule change to amend the definition of Flexibly Structured Options. | Immediately Effective |
| SR-OCC-2018-009 | 6/15/2018 | Proposed rule change to facilitate reporting under Commodity Futures Trading Commission regulations applicable to Derivatives Clearing Organizations. | Immediately Effective |
| SR-OCC-2018-008 Amendment No. 1 Amendment No. 2 | 5/30/2018 6/7/2018 7/11/2018 | Proposed rule change by The Options Clearing Corporation concerning its stress testing and Clearing Fund methodology. | Approved |

| Filing Number | Filing Date | Description | Current Status ¹ |
|--|---|---|--|
| SR-OCC-2018-007 Amendment No. 1 | 3/23/2018 4/19/2018 | Proposed rule change by The Options Clearing Corporation concerning its trade acceptance and novation rules. | Approved |
| SR-OCC-2018-006 | 2/2/2018 | Proposed rule change related to The Options Clearing Corporation's monthly and intra-month Clearing Fund sizing and monitoring processes. | Rejected |
| SR-OCC-2018-005 | 1/29/2018 | Proposed rule change to revise The Options Clearing Corporation's Schedule of Fees. | Immediately Effective |
| SR-OCC-2018-004 | 1/19/2018 | Proposed rule change to revise The Options Clearing Corporation's Schedule of Fees. | Withdrawn |
| SR-OCC-2018-003 | 1/11/2018 | Proposed rule change to modify The Options Clearing Corporation's rules regarding the exercise procedures for certain options on futures. | Immediately Effective |
| SR-OCC-2018-002 Amendment No. 1 | 1/9/2018 1/19/2018 | Proposed rule change to revise The Options Clearing Corporation's Schedule of Fees. | Withdrawn (resubmitted as SR-OCC-2018-004) |
| SR-OCC-2018-001 Resubmission | 1/8/2018 1/18/2018 | Proposed rule change by The Options Clearing Corporation concerning its Fee Policy. | Approved |
| SR-OCC-2017-022 | 11/13/2017 | Proposed rule change by The Options Clearing Corporation concerning its margin methodology. | Approved |
| SR-OCC-2017-021 Resubmission 1 Resubmission 2 Amendment No. 1 Amendment No. 2 | 10/13/2017 10/31/2017 12/8/2017 7/11/2018 7/13/2018 | Proposed rule change by The Options Clearing Corporation concerning updates to and formalization of The Options Clearing Corporation's Recovery and Orderly Wind-Down Plan. | Approved |
| SR-OCC-2017-020 Resubmission 1 Resubmission 2 Amendment No. 1 Amendment No. 2 | 10/13/2017 12/8/2017 12/18/2017 7/11/2018 7/12/2018 | Proposed rule change by The Options Clearing Corporation concerning enhanced and new tools for recovery scenarios. | Approved |

| Filing Number | Filing Date | Description | Current Status¹ |
|---|--------------------------|---|-----------------------------------|
| SR-OCC-2017-019 Amendment No. 1 | 11/14/2017 11/22/2017 | Proposed rule change concerning the adoption of a new minimum cash requirement for the Clearing Fund. | Approved |
| SR-OCC-2017-018 | 10/13/2017 | Proposed rule change by The Options Clearing Corporation concerning the ability to cash settle otherwise physically settled cleared contracts. | Rejected |
| SR-OCC-2017-017 | 10/13/2017 | Proposed rule change by The Options Clearing Corporation concerning liquidity for same day settlement. | Approved |
| SR-OCC-2017-016 | 10/13/2017 | Proposed rule change by The Options Clearing Corporation concerning the modified authority to approve auction bids. | Rejected |
| SR-OCC-2017-015 | 6/9/2017 | Proposed rule change concerning the U.S. market transition to a shortened settlement cycle. | Immediately Effective |
| SR-OCC-2017-014 | 6/7/2017 | Proposed rule change concerning the cash in lieu of fractional shares to be delivered under adjusted options and futures contracts. | Rejected |
| SR-OCC-2017-013 Resubmission | 5/24/2017 6/1/2017 | Proposed rule change in connection with proposed changes relating to a new Stock Options and Futures Settlement Agreement ("New Accord") between The Options Clearing Corporation and the National Securities Clearing Corporation. | Approved |
| SR-OCC-2017-012 | 5/05/2017 | Proposed rule change to amend The Options Clearing Corporation's By-Laws to clarify that the Board may, in its discretion, designate that the Chief Operating Officer also serve as President of The Options Clearing Corporation. | Immediately Effective |
| SR-OCC-2017-011 Resubmission | 4/11/2017 12/28/2017 | Proposed rule change concerning The Options Clearing Corporation's Model Risk Management Policy. | Approved |

| Filing Number | Filing Date | Description | Current Status ¹ |
|---|---|---|-----------------------------|
| SR-OCC-2017-010 Resubmission | 4/10/2017 10/12/2017 | Proposed rule change concerning The Options Clearing Corporation's Default Management Policy. | Approved |
| SR-OCC-2017-009 Resubmission | 4/10/2017 10/12/2017 | Proposed rule change concerning The Options Clearing Corporation's Counterparty Credit Risk Management Policy. | Approved |
| SR-OCC-2017-008 Resubmission | 4/10/2017 10/27/2017 | Proposed rule change concerning The Options Clearing Corporation's Collateral Risk Management Policy. | Approved |
| SR-OCC-2017-007 Resubmission 1 Resubmission 2 Amendment No. 1 | 4/7/2017 11/1/2017 12/11/2017 12/18/2017 | Proposed rule change concerning The Options Clearing Corporation's Margin Policy. | Approved |
| SR-OCC-2017-006 Resubmission | 3/30/2017 4/13/2017 | Proposed rule change to amend The Options Clearing Corporation's Board of Directors Charter and Board Committee Charters. | Rejected |
| SR-OCC-2017-005 Resubmission 1 Resubmission 2 | 3/3/2017 4/7/2017 10/10/2017 | Proposed rule change concerning The Options Clearing Corporation's Risk Management Framework. | Approved |
| SR-OCC-2017-004 | 2/28/2017 | Proposed rule change concerning enhancements to The Options Clearing Corporation's Stock Loan Programs. | Approved |
| SR-OCC-2017-003 Resubmission 1 Resubmission 2 Resubmission 3 | 2/28/2017 3/16/2017 3/28/2017 3/29/2017 | Proposed rule change concerning the Requirement for Clearing Members to participate in default management testing. | Immediately Effective |
| SR-OCC-2017-002 Resubmission | 2/17/2017 2/22/2017 | Proposed rule change concerning changes to The Options Clearing Corporation's management structure. | Approved |
| SR-OCC-2017-001 | 1/04/2017 | Proposed rule change concerning The Options Clearing Corporation's margin coverage during times of increased volatility. | Approved |

| Filing Number | Filing Date | Description | Current Status¹ |
|---|--------------------------|---|--|
| SR-OCC-2016-014 Amendment No. 1 | 10/18/2016 11/28/2016 | Proposed rule change related to compliance with Section 871(m) of the Internal Revenue Code. | Approved |
| SR-OCC-2016-013 | 10/18/2016 | Proposed rule change concerning The Options Clearing Corporation's margin coverage during times of increase volatility. | Withdrawn (resubmitted as SR-OCC-2017-001) |
| SR-OCC-2016-012 | 9/30/2016 | Proposed rule change to revise The Options Clearing Corporation's Schedule of Fees. | Immediately Effective |

Advance Notice Filings

| Filing Number | Filing Date | Description | Current Status |
|--|---|--|--|
| SR-OCC-2023-801 Amendment No. 1 Amendment No. 2 | 8/10/2023 11/08/2023 1/23/2024 | Advance Notice Concerning Modifications to the Amended and Restated Stock Options and Futures Settlement Agreement Between The Options Clearing Corporation and the National Securities Clearing Corporation | SEC No Objection; Pending Implementation |
| SR-OCC-2022-803 | 7/7/2022 | Advance Notice Related to an Expansion of The Options Clearing Corporation's Non-Bank Liquidity Facility Program as Part of Its Overall Liquidity Plan | SEC No Objection; implemented 9/6/2022 |
| SR-OCC-2022-802 | 7/7/2022 | Advance Notice Related to a Master Repurchase Agreement as Part of The Options Clearing Corporation's Overall Liquidity Plan | SEC No Objection; pending implementation |
| SR-OCC-2022-801 Amendment No. 1 | 1/24/2022 6/22/2022 | Advance Notice Concerning The Options Clearing Corporation's Margin Methodology for Incorporating Variations in Implied Volatility | SEC No Objection; implemented 8/6/2022 |
| SR-OCC-2021-803 | 12/23/2021 | Advance Notice Concerning the Options Clearing Corporation's Cash and Investment Management | SEC No Objection; implemented 2/24/2022 |
| SR-OCC-2021-802 Amendment No. 1 Amendment No. 2 Amendment No. 3 Amendment No. 4 Amendment No. 5 Amendment No. 6 | 10/5/2021 11/16/2021 12/13/2021 3/3/2022 6/22/2022 7/1/2022 9/12/2022 | Advance Notice relating to OCC's adoption of Cloud Infrastructure for new clearing, risk management, and data management applications. | SEC No Objection; pending implementation |
| SR-OCC-2021-801 | 2/1/2021 | Advance Notice relating to The Options Clearing Corporation's establishment of persistent minimum skin-in-the-game | SEC No Objection; implemented 5/27/2021 |
| SR-OCC-2020-806 Resubmission 1 Resubmission 2 Resubmission 3 Amendment 1 | 7/17/2020 7/20/2020 10/09/2020 10/20/2020 11/18/2020 | Advance Notice Concerning Proposed Updates to OCC's Recovery and Orderly Wind-Down Plan | SEC No Objection; implemented 12/17/2020 |

| Filing Number | Filing Date | Description | Current Status |
|------------------------------------|-----------------------|---|--|
| SR-OCC-2020-805 | 7/14/2020 | Advance Notice Concerning Proposed Changes to Enhance The Options Clearing Corporation's Stock Loan Close-Out Process | SEC No Objection; implemented 9/28/2020 |
| SR-OCC-2020-804 | 4/27/2020 | Advance Notice concerning The Options Clearing Corporation's proposal to enter into a new credit facility agreement. | SEC No Objection; implemented 6/23/2020 |
| SR-OCC-2020-803 | 4/15/2020 | Advance Notice concerning changes to The Options Clearing Corporation's Non-Bank Liquidity Facility program as part of its overall liquidity plan | SEC No Objection; implemented 6/11/2020 |
| SR-OCC-2020-802 | 4/6/2020 | Advance Notice related to proposed changes to The Options Clearing Corporation's framework for liquidity risk management. | SEC No Objection; implemented 6/29/2020 |
| SR-OCC-2020-801 | 1/10/2020 | Advance Notice Concerning a Master Repurchase Agreement as Part of The Options Clearing Corporation's Overall Liquidity Plan | SEC No Objection; implemented 3/6/2020 |
| SR-OCC-2019-807 | 10/10/2019 | Advance Notice concerning proposed changes to The Options Clearing Corporation's Rules, Margin Policy, Margin Methodology, Clearing Fund Methodology Policy, and Clearing Fund and Stress Testing Methodology to address Specific Wrong-Way Risk. | SEC No Objection; implemented 12/16/2019 |
| SR-OCC-2019-806 | 10/10/2019 | Advance Notice related to proposed changes to The Options Clearing Corporation's Rules, Clearing Fund Methodology Policy, and Clearing Fund and Stress Testing Methodology. | SEC No Objection; implemented 12/16/2019 |
| SR-OCC-2019-805 Amendment No. 1 | 8/9/2019 9/11/2019 | Advance Notice concerning a proposed Capital Management Policy that would support The Options Clearing Corporation's function as a Systemically Important Financial Market Utility. | SEC No Objection; implemented 1/24/2020 |
| SR-OCC-2019-804 | 6/28/2019 | Advance Notice concerning The Options Clearing Corporation's Vanilla Option Model and Smoothing Algorithm. | SEC No Objection; implemented 9/23/2019 |

| Filing Number | Filing Date | Description | Current Status |
|--|------------------------------------|---|--|
| SR-OCC-2019-803 | 4/26/2019 | Advance Notice concerning The Options Clearing Corporation's proposal to enter into a new credit facility agreement. | SEC No Objection; implemented 6/26/2019 |
| SR-OCC-2019-802 | 4/18/2019 | Advance Notice related to the introduction of a new Liquidation Cost Model in The Options Clearing Corporation's Margin Methodology. | SEC No Objection; implemented 10/14/2019 |
| SR-OCC-2019-801 | 3/18/2019 | Advance Notice filing by The Options Clearing Corporation concerning its margin methodology for Volatility Index Futures. | SEC No Objection; implemented 5/20/2019 |
| SR-OCC-2018-804 Amendment No. 1 | 10/22/2018 10/30/2018 | Advance notice filing by The Options Clearing Corporation related to The Options Clearing Corporation's margin methodology for incorporating variations in implied volatility. | SEC No Objection; implemented 1/14/2019 |
| SR-OCC-2018-803 Amendment No. 1 Amendment No. 2 | 5/30/2018 6/7/2018 7/11/2018 | Advance notice filing by The Options Clearing Corporation concerning its stress testing and Clearing Fund methodology. | SEC No Objection; implemented 9/1/2018 |
| SR-OCC-2018-802 Amendment No. 1 | 5/25/2018 6/26/2018 | Advance notice filing in connection with the replacement of a credit facility designed to be used to meet obligations of The Options Clearing Corporation arising out of the default or suspension of a clearing member of The Options Clearing Corporation, in anticipation of a default by a clearing member, or as a result of the insolvency of any bank or clearing member doing business with The Options Clearing Corporation. | SEC No Objection; implemented 6/28/2018 |
| SR-OCC-2018-801 | 2/2/2018 | Advance notice filing by The Options Clearing Corporation concerning its monthly and intra-month Clearing Fund sizing and monitoring processes. | Rejected |
| SR-OCC-2017-811 | 11/13/2017 | Advance notice filing by The Options Clearing Corporation concerning its margin methodology. | SEC No Objection; implemented 10/1/2018 |

| Filing Number | Filing Date | Description | Current Status |
|---|--|---|--|
| SR-OCC-2017-810 Resubmission 1 Resubmission 2 Amendment No. 1 Amendment No. 2 Amendment No. 3 | 10/13/2017 10/31/2017 12/8/2017 7/11/2018 7/12/2018 7/12/2018 | Advance notice filing by The Options Clearing Corporation concerning updates to and formalization of The Options Clearing Corporation's Recovery and Orderly Wind-Down Plan. | SEC No Objection; implemented 8/23/2018 |
| SR-OCC-2017-809 Resubmission Amendment No. 1 Amendment No. 2 | 10/13/2017 12/8/2017 7/11/2018 7/11/2018 | Advance notice filing by The Options Clearing Corporation concerning enhanced and new tools for recovery scenarios. | SEC No Objection; implemented 8/23/2018 |
| SR-OCC-2017-808 Amendment No. 1 | 11/14/2017 11/22/2017 | Advance notice filing concerning the adoption of a new minimum cash requirement for the Clearing Fund. | SEC No Objection; implemented 3/1/2018 |
| SR-OCC-2017-807 | 10/13/2017 | Advance notice filing by The Options Clearing Corporation concerning the ability to cash settle otherwise physically settled cleared contracts. | Rejected |
| SR-OCC-2017-806 | 10/13/2017 | Advance notice filing by The Options Clearing Corporation concerning liquidity for same day settlement. | SEC No Objection; implemented 12/14/2017 |
| SR-OCC-2017-805 Resubmission | 6/19/2017 10/10/2017 | Advance notice filing concerning the use of the Society of Worldwide Interbank Financial Telecommunication (SWIFT) messaging network in The Options Clearing Corporation's cash settlement process. | SEC No Objection; implemented 12/18/2017 |
| SR-OCC-2017-804 Resubmission 1 Resubmission 2 | 5/24/2017 6/1/2017 6/1/2017 | Advance notice filing in connection with proposed changes relating to a new Stock Options and Futures Settlement Agreement ("New Accord") between The Options Clearing Corporation and the National Securities Clearing Corporation | SEC No Objection; implemented 8/5/2017 |

| Filing Number | Filing Date | Description | Current Status |
|------------------------|-------------|---|--|
| SR-OCC-2017-803 | 5/4/2017 | Advance notice filing in connection with the replacement of a credit facility designed to be used to meet obligations of The Options Clearing Corporation arising out of the default or suspension of a clearing member of OCC, in anticipation of a default by a clearing member, or as a result of the insolvency of any bank or clearing member doing business with OCC. | SEC No Objection; implemented 6/30/2017 |
| SR-OCC-2017-802 | 2/28/2017 | Advance notice filing concerning enhancements to The Options Clearing Corporation's Stock Loan Programs. | SEC No Objection; implemented 5/8/2017 |
| SR-OCC-2017-801 | 1/04/2017 | Advance notice filing concerning The Options Clearing Corporation's margin coverage during times of increase volatility. | SEC No Objection; implemented 4/7/2017 |
| SR-OCC-2016-804 | 10/18/2016 | Advance notice filing concerning The Options Clearing Corporation's margin coverage during times of increase volatility. | Withdrawn (resubmitted as SR-OCC-2017-801) |

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