



**THE FOUNDATION  
FOR SECURE  
MARKETS**

#50693

**Date:** July 06, 2022

**Subject:** Advance Notice of NSCC Suspension of Trade Capture Services and Subsequent Cease to Act for Lek Securities Corporation (OCC Member Nos. 229 & 512)

On June 10, 2022, the National Securities Clearing Corporation (“NSCC”) issued an Important Notice informing market participants that at approximately 8:30 p.m. EDT on July 19, 2022, NSCC will suspend trade capture services for Lek Securities Corporation (“Lek”), NSCC Member No. 0512; that at approximately 5:00 p.m. EDT on July 27, 2022, NSCC will complete the cease to act for Lek; and that at approximately 5:00 p.m. EDT on September 20, 2022, the Depository Trust Company (“DTC”) will cease to act for Lek.

Please be advised that under OCC Rule 1102, the expulsion or suspension of an OCC Clearing Member from another self-regulatory organization such as NSCC or DTC is grounds for summary suspension of that Clearing Member. Accordingly, OCC may suspend Lek’s OCC membership on July 19, 2022, when NSCC suspends Lek from trade capture services. If OCC suspends Lek, any pending transactions, open positions, exercises and assignments, and maturities and deliveries in respect of cleared contracts and stock loans (borrows) maintained by Lek will be handled by OCC in accordance with OCC’s default rules and procedures, subject to any court order, regulatory requirements, and OCC’s By-Laws and Rules.

If you have any questions, please contact your Clearing Member representative or the Member Services Help Desk at the following numbers: 800-621-6072 or 800-544-6091. Within Canada, please call 800-424-7320. Clearing Members may also e-mail us at [memberservices@theooc.com](mailto:memberservices@theooc.com).