



**THE FOUNDATION
FOR SECURE
MARKETS®**

#57235

Date: September 10, 2025

Subject: Clearing Member Cybersecurity Notification Requirements – Reminder

As outlined in OCC Rule 213(d), Clearing Members have an on-going requirement to notify OCC in the event that a Clearing Member becomes aware or should be aware that there has been an incident, or an incident is occurring, involving a cyber-related disruption or intrusion of the Clearing Member's system(s) that is reasonably likely to pose an imminent risk or threat to OCC's operations.

Clearing Member security incident notifications should be directed to OCC's Cyber Security team at (312) 322-7604 or CyberNotification@theocc.com immediately upon becoming aware of an incident. Such occurrence may include, but is not limited to, any disruption or degradation of the normal operation of the Clearing Member's system(s), or any unauthorized entry into the Clearing Member's system(s) that would result in loss of OCC's data or system integrity, unauthorized disclosure of sensitive information related to OCC, or the inability of OCC to conduct essential clearance and settlement functions. Upon receipt of such notice, or if OCC has a reasonable basis to believe that a security incident has occurred, or is occurring, OCC may take any and all actions reasonably necessary to mitigate any effects to OCC's operations, including the right to disconnect access or to modify the scope and specifications of access of the Clearing Member to OCC's information and data systems.

The following information should be included in the incident notification to OCC:

- ☐ Legal entity name(s) impacted;
- ☐ Summary of incident, including any known systems connecting to OCC impacted;
- ☐ Date/Time the incident occurred;
- ☐ Primary contact(s), including phone and email information for CSO or CISO.

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@theocc.com.