



Date: October 06, 2026

Subject: Clearing Fund Allocation – Commission Approval and Confirmed Implementation Date

Introduction

The purpose of this Information Memo is to notify Clearing Members that the Securities and Exchange Commission (“SEC” or the “Commission”) has approved OCC’s proposed rule change to the Clearing Fund allocation methodology (the “Proposal”), and to inform Clearing Members of the implementation date. This Information Memo is an update to Information Memo [#57374](#), issued October 2, 2025; Information Memo [#57681](#), issued November 20, 2025; Information Memo [#58242](#), issued January 26, 2026; and Information Memo [#59691](#), issued September 1, 2026.

Commission Approval and Implementation Date

On October 2, 2026, the Commission entered an order setting aside the Commission’s December 11, 2025 approval by delegated authority and approving the Proposal following its own de novo review.

The new Clearing Fund allocation methodology will be implemented beginning with the November 2026 Clearing Fund size, which will be calculated overnight using data as of Friday, October 30, 2026, and released to Clearing Members on Monday, November 2, 2026. Any related deficits will be collected in cash as part of normal settlement on Monday, November 2, 2026.

In the interim, Clearing Members can continue using the parallel daily Clearing Fund requirement projection report, which provides a good indication of their expected November requirement in the days before the official figures are released. This parallel report will replace the existing production daily projection report ahead of the November sizing, and a follow-up information memo will be issued confirming that change.

As a reminder, the method to determine the overall size of the Clearing Fund is not changing and Clearing Members will also continue to be required to post a portion of their requirement in cash as a function of their allocation relative to the overall fund size.

Clearing Members who would like further details or have any questions concerning this memorandum, should email stlrmgroup@theocc.com.