FINRA
Increase of Option Position Limit Notification Filing

Return to: **FINRA**
Market Regulation Department
20 Broad Street, 13th floor
New York, NY 10005

Email: plhedge@finra.org

Increase of Option Position Limit Criteria

Underlying security* must meet either Condition 1 or Condition 2:		Condition #1	Condition #2	
Level	**Tier Limit**	**6 Month Tdg Vol**	**6 Month Tdg Vol**	**Shares Outstanding**
1	25,000	< 20M	<15M	<40M
2	50,000	20M	15M	40M
3	75,000	40M	30M	120M
4	200,000	80M	60M	240M
5	250,000	100M	75M	300M

** If foreign security, must be a member of the FTSE All-World Index or NASDAQ Global Large Mid Cap Index.*

THE FOLLOWING INFORMATION MUST BE COMPLETED IN ITS ENTIRETY

Name of Firm: Prepared by: Request Date:	Firm Symbol: Tel: Expiration Date (FINRA provided):	FINRA I.D. NO: FAX:

Underlying Security							Foreign Security			Position Status		Increase of Option Position Limit
Company Name	**Symbol**	**Symbol on LOPR**	**6 Month ADTV**	**6 Month Days**	**6 Month Tdg Vol**	**Shares Outstanding**	**FTSE All-World Index Exemption**	**NASDAQ Global Large Mid Cap Index Exemption**	**USD Equivalent Price**	**Position Status**	**Trade Date**	

FINRA Reviewer Signature:_____