

# FACT SHEET

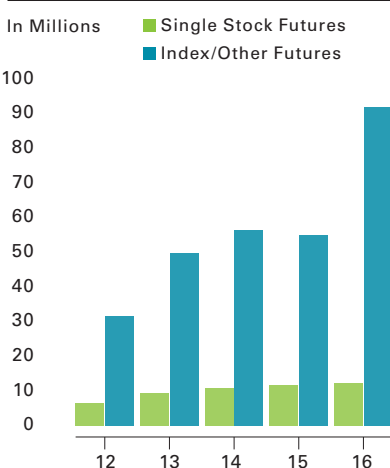
## About OCC

As the foundation for secure markets, OCC is a cost-efficient, customer-driven organization that delivers world-class risk management, clearing and settlement services to the listed options market. Our role as a Systemically Important Financial Market Utility (SIFMU) is critical to providing financial stability for market participants, investors, and the economy. Today, our financial guarantee and central counterparty role extend beyond listed options to OTC options, financial and commodity futures, security futures, and securities lending. OCC also promotes continued education of the listed options markets through The Options Industry Council (OIC).

## Yearly Cleared Options Volume, By Product Type



## Yearly Cleared Futures Volume, By Product Type



## Who We Serve

**15 Options Exchanges:** Bats BZX Exchange, Inc., Bats EDGX Exchange, Inc., BOX Options Exchange LLC, C2 Options Exchange, Incorporated, Chicago Board Options Exchange, Incorporated, Miami International Securities Exchange, LLC, MIAX PEARL, LLC, Nasdaq BX, Inc., Nasdaq GEMX, LLC, Nasdaq ISE, LLC, Nasdaq MRX, LLC, Nasdaq Options Market, LLC, Nasdaq PHLX, LLC, NYSE Arca, Inc., and NYSE MKT LLC.

**3 Regulators:** U.S. Securities and Exchange Commission, U.S. Commodity Futures Trading Commission, and Board of Governors of the Federal Reserve System.

**1 Stock Loan Alternative Trading System:** Automated Equity Finance Markets, Inc.

**3 Futures Exchanges:** CBOE Futures Exchange, LLC, Nasdaq Futures, Inc., and OneChicago, LLC.

**Approximately 115 Clearing Members:** Intermediaries supporting asset managers, mutual funds, pension funds, retail investors, insurers, and other market participants.

*No statement is to be construed as a recommendation to purchase or sell a security, or to provide investment advice. Options involve risk and are not suitable for all investors. Prior to buying or selling an option, a person must receive a copy of Characteristics and Risks of Standardized Options. Copies of this document may be obtained from your broker, from any exchange on which options are traded or by contacting The Options Clearing Corporation, One North Wacker Dr., Suite 500, Chicago, IL 60606 (options@theooc.com).*

## OCC Executives

**Craig Donohue**, Executive Chairman and Chief Executive Officer

**John Davidson**, President and Chief Operating Officer

**Scot Warren**, Chief Administrative Officer

**John Fennell**, Executive Vice President and Chief Risk Officer

**Dale Michaels**, Executive Vice President, Financial Risk Management

**Joe Adamczyk**, Senior Vice President and Chief Compliance Officer

**Adi Agrawal**, Senior Vice President and Chief Business Transformation Officer

**Sean Cawley**, Senior Vice President and Special Adviser to the Executive Chairman

**Chip Dempsey**, Senior Vice President and Chief Commercial Officer

**David A. Hoag**, Senior Vice President and Chief Information Officer

**Joseph Kamnik**, Senior Vice President, General Counsel and Corporate Secretary

**Jim Kustus**, Senior Vice President, Operations

**Luke Moranda**, Senior Vice President and Senior Information Technology Advisor

**Tracy Raben**, Senior Vice President and Chief Human Resources Officer

**Amy Shelly**, Senior Vice President and Chief Financial Officer

## Highlights

- OCC is named 2016 Clearinghouse of the Year – Americas by Futures & Options World.
- OCC is named 2016 Clearinghouse of the Year by Global Investor/ISF Magazine.
- Standard & Poor's reaffirms AA+/Stable Rating for OCC.
- 2016 cleared contract volume totals 4.17 billion, fifth highest annual total in OCC's history.
- Securities lending CCP activity increases 37 percent in 2016.
- OCC and eSecLending create an innovative pre-funded, \$1 billion committed repurchase facility with CalPERS.
- OCC holds approximately \$100 billion in collateral deposited by clearing members and moves billions of dollars every day.
- Stock loan transactions totals 1.9 million in 2016.