

# Clearing Member Restriction Form

MIAX Options® Exchange  
MIAX Pearl® Options Exchange  
MIAX Emerald® Options Exchange  
MIAX Sapphire® Options Exchange



Clearing Member:

Date:

In accordance with the rules of Miami International Securities Exchange, LLC (“MIAX”), MIAX PEARL, LLC (“MIAX Pearl”), MIAX Emerald, LLC (“MIAX Emerald”), and/or MIAX Sapphire, LLC (“MIAX Sapphire”) (individually or collectively referred to herein as the “Exchange” as applicable), the Clearing Member listed above authorizes the Exchange to restrict The Options Clearing Corporation (“OCC”) number(s) listed below requiring prior authorization for use as a Give-Up to each Exchange. The Clearing Member must indicate below the OCC number(s) to be restricted for each Exchange.

**NOTE:** Once an OCC number is marked as restricted, no Member will be able to use that restricted OCC number unless they have either: (1) an executed clearing guarantee on file with Membership with that Clearing Member; or (2) the Member is authorized by the Clearing Member pursuant to the applicable Exchange rule.

**Instructions:** To authorize or revoke a Member’s use of a restricted OCC number, please enter the applicable information below and submit to [memberservices@miaxglobal.com](mailto:memberservices@miaxglobal.com). List the restricted OCC number in column 1 and provide, if applicable, each Member that is authorized or restricted on each OCC number in column 2. Check whether authorized or revoked for all applicable Exchanges in columns 5 through 8. If necessary, please attach additional sheets.

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8
Restricted OCC Number	Member	Authorized	Revoked	MIAX	MIAX Pearl	MIAX Emerald	MIAX Sapphire

---

Restricted OCC Number	Member	Authorized	Revoked	MIAX	MIAX Pearl	MIAX Emerald	MIAX Sapphire
-----------------------	--------	------------	---------	------	------------	--------------	---------------

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8
Restricted OCC Number	Member	Authorized	Revoked	MIAX	MIAX Pearl	MIAX Emerald	MIAX Sapphire

---

Restricted OCC Number	Member	Authorized	Revoked	MIAX	MIAX Pearl	MIAX Emerald	MIAX Sapphire
-----------------------	--------	------------	---------	------	------------	--------------	---------------

---

Restricted OCC Number	Member	Authorized	Revoked	MIAX	MIAX Pearl	MIAX Emerald	MIAX Sapphire
-----------------------	--------	------------	---------	------	------------	--------------	---------------

By executing this Clearing Member Restriction Form, the Clearing Member grants the Exchange permission to publish the Clearing Member's restricted OCC number(s) on the Exchange website for purposes of providing notice to other Exchange Members that the Clearing Member's OCC number(s) will not be available for Give-Up.

Signature:

Title:

Print Name:

Date:

Clearing Member  
 Contact Person:  
*(to be provided to  
 Members seeking  
 authorization)*

Email:

Phone: