

Pre-Application Survey Form

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

miax®

Member Firm:

Member Firm CRD #:

Address:

City:

State:

Zip Code:

Member Firm Telephone #:

Name of Individual Making Application:

Title:

Telephone #:

Name of Individual Making Application's Email Address:

I. Type of Membership

MIAMI INTERNATIONAL SECURITIES EXCHANGE, LLC ("MIAX")

Primary Lead Market Maker Member

Lead Market Maker Member

Registered Market Maker Member

Electronic Exchange Member

Order Flow

Self-Clearing #(s):

Arrangement with #(s):

MIAX EMERALD, LLC ("MIAX EMERALD")

Primary Lead Market Maker Member

Lead Market Maker Member

Registered Market Maker Member

Electronic Exchange Member

Order Flow

Self-Clearing #(s):

Arrangement with #(s):

MIAX PEARL, LLC ("MIAX PEARL")

Market Maker Member

Electronic Exchange Member

Order Flow

Self-Clearing #(s):

Arrangement with #(s):

MIAX SAPPHIRE, LLC ("MIAX SAPPHIRE")

Market Maker Member

Floor Market Maker Member

Electronic Exchange Member

Floor Broker Dealer

Order Flow

Self-Clearing #(s):

Arrangement with #(s):

II. Organizational Structure

Limited Liability Company

Partnership

Corporation

Other:

III. Business and Operating Information

Type of trading activities description:

Description of market maker, order routing, and processing systems:

Application Contact:

Name:

Title:

Telephone:

Email:

Technical Contact:

Name:

Title:

Telephone:

Email:

Trading/Business Contact:

Name:

Title:

Telephone:

Email:

Regulatory Contact:

Name:

Title:

Telephone:

Email:

IV. Miscellaneous Information

Designated Examining Authority:

Will your firm require connectivity to MIAX?

Yes

No

Will your firm require connectivity to MIAX Pearl?

Yes

No

Will your firm require connectivity to MIAX Emerald?

Yes

No

Will your firm require connectivity to MIAX Sapphire?

Yes

No

Will your firm be routing orders to MIAX through another firm? Yes No

Explain:

Will your firm be routing orders to MIAX Pearl through another firm? Yes No

Explain:

Will your firm be routing orders to MIAX Emerald through another firm? Yes No

Explain:

Will your firm be routing orders to MIAX Sapphire through another firm? Yes No

Explain:

Will your firm be doing a public business? Yes No

Will your firm receive Market Data from MIAX? Yes No

Will your firm receive Market Data from MIAX Pearl? Yes No

Will your firm receive Market Data from MIAX Emerald? Yes No

Will your firm receive Market Data from MIAX Sapphire? Yes No

Is your firm (or an affiliate) publicly traded? Symbol: Exchange: No

Is your firm affiliated with a MIAX member? Yes No

If Yes, Firm Name: MIAX EXCHANGE(s):