

Voluntary/Mutual Agreement Trade Nullification or Adjustment

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



MIAX Members seeking a Voluntary/Mutual Agreement Trade Nullification or Adjustment must provide the following information to the Regulatory Division at Regulatory@miaxglobal.com.

This form must be submitted prior to 8:30 a.m. ET on the first trading day following the execution.

| Select Exchange(s) (required): | MIAX | MIAX Pearl | MIAX Emerald | MIAX Sapphire |
|--------------------------------|-------------------------|----------------------------|-----------------|---------------|
| 1. Date: | | 2. Firm Name: | | |
| 3. MPID(s): | | 4. Contact Name: | | |
| 5. Phone Number: | | 6. E-mail: | | |
| 7. Type of Review: | Voluntary Nullification | Voluntary Price Adjustment | | |
| 8. Reason | | Preferred Price: | | |
| 9. Time of Execution (ET): | | 9. Time of Execution (ET): | | |
| 10. Underlying(s): | | 11. Expiration: | | |
| 12. Series: | | 13. Call or Put: | Call | Put |
| 14. Complex Trade: | Yes | No | 15. Trade Size: | |
| 16. Price: | | 17. Stock Tied: | Price: | Volume: |
| 18. Additional Notes: | | | | |

For multiple errors, attach an Excel spreadsheet containing the information in items #7 - #18 above

Please save the completed form and attach it to an e-mail to Regulatory@miaxglobal.com.

MIAX Regulatory Department: 609-897-7309