



DATE: February 28, 2019
TO: MIAX Emerald Members
FROM: MIAX Emerald Regulatory Department
RE: Electronic Filing of Annual Reports

Pursuant to MIAX Emerald Rules 803, Audits, which Rule is incorporated by reference to Rule 803 of MIAX Options; and MIAX Emerald Rule 1308, Supervision of Accounts, which Rule is incorporated by reference to Rule 1308 of MIAX Options, MIAX Emerald Members are required to file annual reports regarding the Member's financial condition.

In connection with the Regulatory Services Agreement between MIAX Emerald and FINRA, the filing of various annual reports has been transitioned to the electronic filing platform available via FINRA's Firm Gateway. FINRA's Firm Gateway (<https://firms.finra.org>) is a portal that provides consolidated access to various FINRA regulatory systems.

MIAX Emerald will require annual reports to be submitted electronically via the FINRA Firm Gateway.

FINRA Firm Gateway technical questions may be directed to FINRA's technical support group at (301) 869-6699.

Further questions may be directed to the Exchange's Membership Department at MemberServices@miami-holdings.com or (609) 897-1479.