



DATE: February 28, 2019

TO: MIAX Emerald Applicant Members

FROM: MIAX Emerald Membership Department

RE: WEB CRD Registration for MIAX Emerald, LLC

This is a notification that the window on FINRA's Web CRD system for Forms U4, U5, BD and BDW for the MIAX Emerald, LLC ("MIAX Emerald") Exchange will open on Friday, March 1, 2019, the first day of trading on the new Exchange,.

MIAX Emerald will recognize the same qualified representative and principal level categories, as well as Exchange-specific registration categories, as its two (2) affiliated self-regulatory organizations, MIAX Options and MIAX PEARL.

The following individual registration categories will be available:

- General Securities Representative (GS)
- General Securities Principal (GP)
- General Securities Sales Supervisor (SU)
- Registered Options Principal (OP)
- Financial and Operations Principal (FN)
- Compliance Official (CO)
- Securities Trader (TD)
- Securities Trader Principal (TP)
- Securities Trader Compliance Officer (CT)

Active registrants with retired registration categories, including the following, may register with MIAX Emerald:

- Canada – Limited General Securities Registered Representative – with options (CD)
- Canada – Limited General Securities Registered Representative – without options (CN)
- United Kingdom – Limited General Securities Registered Representative (IE)

Technical questions may be directed to FINRA's Gateway Call Center support group at (301) 869-6699.

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