

MIAX Sapphire Options Exchange Regulatory Circular 2024-06

DATE: August 2, 2024

TO: MIAX Exchange Members

FROM: MIAX Regulatory Department

RE: Electronic Filing of Annual Reports

In connection with the Regulatory Services Agreement between the MIAX Exchange Group and FINRA, the filing of MIAX Sapphire Rule 803 Audits, which incorporates by reference MIAX Options Rule 803, annual reports have 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.

Other confidential or financial member firm filings may be sent to:

MemberServices@miaxglobal.com

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@miaxglobal.com or (609) 423-8433.