

MIAX Sapphire Options Exchange Regulatory Circular 2024-31

DATE: August 12, 2024

TO: MIAX Sapphire Members

FROM: MIAX Member Services Department

RE: MIAX Sapphire Options BD Form U4 Registrations

This notification is to advise that all newly approved MIAX Sapphire Broker-Dealer firms that also maintain an approved membership in the MIAX Options Exchange will have their firm's Individual Form U-4 registrations auto-copied in FINRA's WebCRD from MIAX Options to MIAX Sapphire on September 16, 2024.

In advance of this planned automation, the Exchange will approve each eligible firm-applicant in Web CRD beginning on August 12, 2024.

Questions regarding this notice may be directed to Member Services at MembershipCORE@miaxglobal.com or (609) 423-8433.

FINRA Firm Gateway registrations and technical questions may be directed to FINRA's Office of Regulatory Services & Strategy at (301) 869-6699.