

MIAX Sapphire, LLC (“MIAX Sapphire” or the “Exchange”) Member Firms should use this form to request participation in complex orders containing a stock component on MIAX Sapphire. Please fill out this form in its entirety and return to MIAX Sapphire (see Section F below).

## SECTION A – GENERAL MEMBER INFORMATION

Member Firm:

Contact Name:

CRD No.:

Phone:

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## SECTION B – FIRM-BASED ACCOUNT CONFIGURATION (ORDER-BY-ORDER BASIS)

On a Firm-level basis, provide the following Stock Account MPID(s) which will be used to trade complex order strategies with a stock component.

**Stock Account MPID(s)**

- If sending stock clearing instructions on an order-by-order basis, EEMs have the option to specify a default stock clearing account within this Section.
- Alternatively, in the absence of an order-by-order basis, please use Section C.
- Electronic Exchange Members (EEM) must complete either Section B or Section C.
- Please use an attachment if needed.

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## SECTION C – MPID-BASED ACCOUNT CONFIGURATION

Provide the following information for each MIAX Sapphire MPID which will be used to trade complex order strategies with a stock component.

**Column A**  
**MIAX Sapphire MPID**

**Column B**  
**Stock Account MPID**

- By providing MPID-based account information, MIAX Sapphire will pre-configure your stock clearing information using Column A and Column B above.
- Market-Makers must complete both Column A and Column B
- Please use an attachment if needed.

## SECTION D – CLEARING PATH

Check the desired clearing path for stock component.

1. **ACT** – Requires Uniform Service Bureau/Executing Broker Agreement (AGU) with FINRA Transparency Services
  2. **Direct to NSCC** – Requires Qualified Special Representative (QSR Form submitted via DTCC Portal) arrangement with FINRA
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## SECTION E – SUPPLEMENTAL MATERIAL

- **FINRA Transparency Services Uniform Executing Broker Agreement (AGU)** – FINRA member firms who wish to participate in the Complex Order System are required to execute this Agreement.
  - **QSR Arrangement (DTCC Portal)** – Member firms which are not a FINRA member and have no access to ACT via its clearing firm, must have its clearing firm enter into this arrangement with FINRA.
  - **MPID & Session Request Form** – Member firms that do not have an assigned MPID must request one by submitting this form to MIAX Emerald Membership.
  - In accordance with Rule 518 Interpretation and Policy .01(a), to participate in stock-option order processing, a member firm must give up a Clearing Member previously identified to and processed by the Exchange as a Designated Give Up for that member firm, and which has entered into a *Uniform Executing Broker Agreement* with FINRA Transparency Services.
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## SECTION F – SIGNATURES

Authorized Signatory MIAX Sapphire Member Firm

Authorized Signatory Stock Facilitating Broker

Print Name/Title

Print Name/Title

Date

Date

## SECTION G – SUBMISSION

Please submit your completed form electronically to MIAX Membership: [memberservices@miaxglobal.com](mailto:memberservices@miaxglobal.com).

Questions may be directed to MIAX Membership at 609-897-1479.