



Date: September 22, 2020
To: MIAX PEARL Member Firms & MIAX PEARL Equities Applicant-Firms
From: MIAX Member Services
Re: CRD Registration for MIAX PEARL, LLC

Effective September 25, 2020, the Equities platform of MIAX PEARL, LLC (“MIAX PEARL”, “PEARL” or “Exchange”) will be available for registration on the Central Registration Depository (Web CRD) for both Form BD and Form U-4 applicants.

The qualifying registration categories are identical to the Options platform of MIAX PEARL.

For approved MIAX PEARL member firms which opted to addend their membership to MIAX PEARL Equities, an effective date of September 25, 2020 will automatically be entered into their CRD register file for the new exchange and their registrations should be automatically activated with MIAX PEARL Equities.

For new MIAX PEARL Equities applicant-firms, these firms will have up to twenty-one (21) business days following the effective date of September 25, 2020 to register their members, associated persons and designated principals according to MIAX PEARL Equities Rules 3100 and for registered market makers Rules 2605 and 2606.

Attached is a link to MIAX PEARL Equities rules: <https://www.miaxoptions.com/rulebook/pearl-equities>.

Updates may also be found on MIAX PEARL’s Trader Alert Page: <https://www.miaxoptions.com/alerts/pearl-equities>.

Dependent on your CRD system’s functionality, you may either manually enter Form U-4 requests or mass upload your firm’s registered persons in an electronic file transfer to MIAX PEARL Equities. Please contact FINRA’s Gateway Hotline (301) 590-6500 for registration assistance.

Attached is a link to FINRA’s home page for more information: <http://www.finra.org/industry/crd>.

For questions related to qualifying MIAX PEARL Equities registrations, please contact memberservices@miami-holdings.com.