

RESTRICTED OCC CLEARING NUMBERS

| OCC Clearing Number | Clearing Member Contact Information | Restriction Effective Date | MIAX Options | MIAX PEARL | MIAX Emerald |
|---------------------|--|----------------------------|--------------|------------|--------------|
| 230 | BNP Paribas Securities Corp. Patrick Chi, 212.471.6524 dl.nyk_eqd_compliance@us.bnpparibas.com | 08/26/19 | X | N/A | N/A |
| 161 | BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com | 08/15/19 | X | X | X |
| 244 | BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com | 08/15/19 | X | X | X |
| 245 | BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com | 08/15/19 | X | X | X |
| 275 | BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com | 08/15/19 | X | X | X |
| 792 | BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com | 08/15/19 | X | X | X |
| 586 | Deutsche Bank Securities Inc. Jeffrey Smith, 212.250.7899 jeffrey-a.smith@db.com | 08/21/20 | X | X | X |
| 010 | Goldman Sachs & Co. LLC Laura Thomas, 801.212.7000 occ-membership@gs.com | 12/27/19 | X | X | X |
| 200 | Goldman Sachs & Co. LLC Laura Thomas, 801.212.7000 occ-membership@gs.com | 12/27/19 | X | X | X |
| 840 | Goldman Sachs & Co. LLC Laura Thomas, 801.212.7000 occ-membership@gs.com | 12/27/19 | X | X | X |
| 017 | Interactive Brokers LLC ibclearingops@interactivebrokers.com | 07/18/19 | X | X | X |
| 534 | Interactive Brokers LLC ibclearingops@interactivebrokers.com | 07/18/19 | X | X | X |
| 519 | Merrill Lynch Professional Clearing Corp. Mark Morrison, 646.743.1241 dg.mlpro_exchange_agreements@baml.com | 07/08/19 | X | X | X |
| 540 | Merrill Lynch Professional Clearing Corp. Mark Morrison, 646.743.1241 dg.mlpro_exchange_agreements@baml.com | 07/08/19 | X | X | X |
| 551 | Merrill Lynch Professional Clearing Corp. Mark Morrison, 646.743.1241 dg.mlpro_exchange_agreements@baml.com | 07/08/19 | X | X | X |

CLEARING MEMBER RESTRICTION FORM

| OCC Clearing Number | Clearing Member Contact Information | Restriction Effective Date | MIAX Options | MIAX PEARL | MIAX Emerald |
|---------------------|--|----------------------------|--------------|------------|--------------|
| 552 | Merrill Lynch Professional Clearing Corp. Mark Morrison, 646.743.1241 dg.mlpro_exchange_agreements@baml.com | 07/08/19 | X | X | X |
| 598 | Merrill Lynch Professional Clearing Corp. Mark Morrison, 646.743.1241 dg.mlpro_exchange_agreements@baml.com | 07/08/19 | X | X | X |
| 443 | Pershing, LLC Warren Harvey, 321.249.4469 warren.harvey@pershing.com | 07/08/19 | X | X | X |
| 007 | X-Financial Access, LLC George Stafford, 312-235-0320 gstafford@x-fa.com | 10/25/19 | X | N/A | N/A |