**Stock-Tied Complex Order Authorization**

**MIAX Emerald, LLC**

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

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| **Section A – General Member Information**  |
| Member Firm: |  |
| Contact name: |  |
| CRD No.:  |  | Phone: |  |
| Email: |  |
| **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)** |
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| * 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 Emerald MPID which will be used to trade Complex Order strategies with a stock component.  |
| **Column A** | **Column B** |
| **MIAX Emerald MPID** | **Stock Account MPID** |
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| * By providing MPID-based account information, MIAX Emerald 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.
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| **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 Emerald Member Firm Print Name/TitleDate | Authorized Signatory Stock Facilitating BrokerPrint Name/TitleDate |
| **Section G – Submission** |
| Please submit your completed form electronically to MIAX Emerald Membership: membership@MIAXOptions.com. Questions may be directed to MIAX Emerald Membership at 609-897-1479. |