

OBVIOUS AND CATASTROPHIC ERROR REVIEWS AND APPEALS

MIAX Members seeking an Obvious or Catastrophic Error Review and/or to Appeal a decision must provide the following information to the Regulatory Division at Regulatory@MIAXOptions.com.

- Filings for obvious error reviews must be received electronically within 30 minutes for priority customers and 15 minutes for all others.
- Filings for catastrophic reviews must be received by 8:30 a.m. ET on the first trading day following the trade date.
- Filings for appeal of an obvious error ruling must be made within 30 minutes after the party making the appeal has been given the initial determination.

Select Exchange (required):	MIAX Options	MIAX PEARL	MIAX Emerald
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1. Date: _____
2. Firm Name: _____
3. MPID(s): _____
4. Contact Name: _____
5. Phone Number: _____
6. E-mail: _____
7. Type of Review: _____
8. Error Type: _____
9. If adjustment is preferred over bust, indicate preferred price: _____
10. Time of Execution (ET): _____
11. Underlying(s): _____
12. Expiration: _____
13. Series: _____
14. Call or Put: Call Put
15. Complex Trade: Yes No
16. Trade Size: _____
17. Price: _____
18. Stock Tied: Price: _____ Volume: _____
19. Additional Notes:

For multiple errors, attach an Excel spreadsheet containing the information in items #7 - #19 above.

CLICK TO ATTACH TO E-MAIL

If the e-mail attachment button does not work, please save the completed form and attach it to an e-mail to Regulatory@MIAXOptions.com.

MIAX Regulatory Department: 609-897-7309