



## PRE-APPLICATION SURVEY FORM

Firm Name: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ CRD #: \_\_\_\_\_

### I. Type of Membership

- Miami International Securities Exchange, LLC (“MIAX”)**
  - Primary Lead Market Maker Member
  - Lead Market Maker Member
  - Registered Market Maker Member
  - Electronic Exchange Member
    - Order Flow
    - Self-Clearing #(s): \_\_\_\_\_
    - Arrangement with #(s): \_\_\_\_\_
- MIAX PEARL, LLC (“MIAX PEARL”)**
  - Market Maker Member
  - Electronic Exchange Member
    - Order Flow
    - Self-Clearing #(s): \_\_\_\_\_
    - Arrangement with #(s): \_\_\_\_\_
- MIAX Emerald, LLC (“MIAX Emerald”)**
  - Primary Lead Market Maker Member
  - Lead Market Maker Member
  - Registered Market Maker Member
  - Electronic Exchange Member
    - Order Flow
    - Self-Clearing #(s): \_\_\_\_\_
    - Arrangement with #(s): \_\_\_\_\_

### II. Organizational Structure

- Limited Liability Company
- Partnership
- Corporation
- Other: \_\_\_\_\_

### III. Business and Operating Information

Type of trading activities description: \_\_\_\_\_

Description of market maker, order routing and processing systems: \_\_\_\_\_

**PRE-APPLICATION SURVEY FORM**

---

**Application Contact:**

Name: \_\_\_\_\_ Title: \_\_\_\_\_  
Telephone: \_\_\_\_\_ Email: \_\_\_\_\_

**Technical Contact:**

Name: \_\_\_\_\_ Title: \_\_\_\_\_  
Telephone: \_\_\_\_\_ Email: \_\_\_\_\_

**Trading Contact:**

Name: \_\_\_\_\_ Title: \_\_\_\_\_  
Telephone: \_\_\_\_\_ Email: \_\_\_\_\_

**IV. Miscellaneous Information**

- Designated Examining Authority: \_\_\_\_\_
- Will your firm require connectivity to MIAX?  Yes  No
- Will your firm require connectivity to MIAX PEARL?  Yes  No
- Will your firm require connectivity to MIAX Emerald?  Yes  No
- Will your firm be routing orders to MIAX through another firm?  Yes  No  
Explain: \_\_\_\_\_  
\_\_\_\_\_
- Will your firm be routing orders to MIAX PEARL through another firm?  Yes  No  
Explain: \_\_\_\_\_  
\_\_\_\_\_
- Will your firm be routing orders to MIAX Emerald through another firm?  Yes  No  
Explain: \_\_\_\_\_  
\_\_\_\_\_
- Will your firm be doing a public business?  Yes  No
- Will your firm receive Market Data from MIAX?  Yes  No
- Will your firm receive Market Data from MIAX PEARL?  Yes  No
- Will your firm receive Market Data from MIAX Emerald?  Yes  No
- Is your firm (or an affiliate) publicly traded? SYMBOL: \_\_\_\_\_ EXCH: \_\_\_\_\_  No