



## VOLUNTARY/MUTUAL AGREEMENT TRADE NULLIFICATION OR ADJUSTMENT

MIAX Members seeking a Voluntary/Mutual Agreement Trade Nullification or Adjustment must provide the following information to the Regulatory Division at [Regulatory@MIAXOptions.com](mailto:Regulatory@MIAXOptions.com).

This form must be submitted prior to 8:30 a.m. ET on the first trading day following the execution.

Select Exchange (required):	MIAX Options	MIAX PEARL	MIAX Emerald
-----------------------------	--------------	------------	--------------

- |   |  |
|---|--|
| 1. Date: _____  | 2. Firm Name: _____                                  |
| 3. MPID(s): _____                                     | 4. Contact Name: _____                               |
| 5. Phone Number: _____                                | 6. E-mail: _____                                     |
| 7. Type of Review:            Voluntary Nullification | Voluntary Price Adjustment<br>Preferred Price: _____ |
| 8. Reason:  |  |
| 9. Time of Execution (ET): _____                      | 10. Underlying(s): _____                             |
| 11. Expiration: _____                                 | 12. Series: _____                                    |
| 13. Call or Put:            Call            Put       | 14. Complex Trade:            Yes            No      |
| 15. Trade Size: _____                                 | 16. Price: _____                                     |
| 17. Stock Tied: Price: _____    Volume: _____         |  |
| 18. Additional Notes:                                 |  |

For multiple errors, attach an Excel spreadsheet containing the information in items #7 - #18 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](mailto:Regulatory@MIAXOptions.com).

MIAX Regulatory Department: 609-897-7309