

Pre-Application Survey Form

MIAX Options Exchange
MIAX Pearl Options Exchange
MIAX Emerald Options Exchange



Firm Name:

Address:

City / State / Zip Code:

Telephone:

CRD #:

I. Type of Membership

Miami International Securities Exchange, LLC ("MIAX")

Primary Lead Market Maker Member

Electronic Exchange Member

Lead Market Maker Member

Order Flow

Registered Market Maker Member

Self-Clearing #(s):

Arrangement with #(s):

MIAX Emerald, LLC ("MIAX Emerald")

Primary Lead Market Maker Member

Electronic Exchange Member

Lead Market Maker Member

Order Flow

Registered Market Maker Member

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):

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:

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 Emerald 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 |
|---|-----|----|

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|---|---------|-----------|----|
| Is your firm (or an affiliate) publicly traded? | Symbol: | Exchange: | No |
|---|---------|-----------|----|