

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
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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