

Overview:

Market Participants who engage in proprietary trading are eligible to apply for Membership to receive discounted fees (when applicable) on their proprietary trading of products listed on the MIAX Futures Exchange (“MIAX Futures” or “the Exchange”). Note that each MIAX Futures product class has its own Membership fees and requirements associated with it. Only the entity or individual approved as a Member is entitled to receive Member rates as detailed on the Exchange’s fee schedule.

Please carefully follow all directions contained in this Application packet, including providing all supplemental documentation or additional information where requested. Please note that failure to submit a complete Application may extend or terminate the review and/or approval process. Applicants are required to answer every question and provide the requested additional information in each field where applicable. Applicants may answer not applicable (“N/A”) where appropriate. Applicants must update any information provided via this Application if and when it becomes inaccurate or incomplete after the date of submission and prior to any approval of the Application.

All Applications and any subsequent amendments must be submitted to the Membership Department. All documents must be submitted in English. The Membership Department will review the Application for completeness. During its review, the Exchange may request that Applicants submit documentation in addition to what is required on the Application. Member rates become effective upon receipt of formal notice of Membership approval from the Exchange and proper designation of account(s) as detailed in MIAX Futures’ Rulebook.

Please direct any questions you may have and submit all required Application documentation to the Membership Department at membershipcore@miaxglobal.com. Additional information is also available on the Exchange Website at <https://www.miaxglobal.com/markets/futures/miax-futures>.

Application Checklist	
Items required for Application approval:	
Membership Application	
Application Fee	
Entity Ownership Chart including percentages of ownership (not required for Sole Proprietorships)	
Disciplinary Supplemental Documentation, if applicable	

**Application and monthly fee waivers are available for Members. Please see the Exchange fee schedule for additional information.*

I. Applicant Details

Name and Address:

Full Legal Entity Name:

Tax ID #:

CRD #:

NFA #:

Foreign ID #:

Website Address:

Name of Individual Making Application:

Title:

Phone:

Email:

Principal Office Mailing Address:

City:

State:

Zip:

Country:

Billing Address (if different from Mailing Address):

City:

State:

Zip:

Country:

Address for Service of Documents (if different from Mailing Address):

City:

State:

Zip:

Country:

Applicant's Activities:

1. Type of organization:

Corporation

Limited Liability Company

Limited Partnership

General Partnership

Sole Proprietorship

Other:

Organized under the laws of:

State:

Country:

Date Established:

2. Is the Applicant owned in whole or in part by another person/organization? If yes, please provide an ownership chart detailing the Applicant's ownership, including percentages of ownership.

Yes

No

Membership Application

3. Please describe the types of trading activities Applicant engages in (e.g. futures and options customer business, proprietary trading, combination, etc.):

4. If applicable, indicate all capacities in which Applicant holds NFA registration(s).

5. Is the Applicant regulated by any foreign regulatory agency or body for its trading activities? If yes, include the name of the regulatory agency or body, registration capacity, registration number, and the website of the regulatory body. Attach a continuation sheet if needed.

6. List all countries in which Applicant has customers. Attach a continuation sheet if necessary.

7. Please select the MIAX Futures product classes that the applicant will trade.

Commodities	Financials
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8. Please specify which Memberships Applicant is enrolling in. Note that each Membership has its own fees as noted in the applicable Fee Schedule.

Commodities Member	Financials Member
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9. Please list all MIAX Futures products Applicant will trade (Wheat, Fertilizers, B100, B500 etc.).

II. Membership Accounts

Membership gives market participants access to preferential rates on their proprietary trading activity when applicable. Note that each product class has its own Membership fees and requirements associated with it. Member rates are designated at the Onyx Trading Account Number level or the Clearing Account Number level as indicated below. Only proprietary trading activity is eligible for Member rates. Applicant should only list accounts below that it uses for proprietary trading or Onyx.

Financials

Please provide the applicable OCC Clearing Member and the Onyx trading account numbers below. If you know your MPID, please provide that too, otherwise leave blank. Attach a continuation sheet if necessary.

OCC Clearing Member	MPID	Onyx Account Numbers

Commodities

Please provide the applicable MIAX Futures Clearing Member(s) and the clearing account numbers below. If you know your MPID, please provide that too, otherwise leave blank. Attach a continuation sheet necessary.

MIAX Futures Clearing Member or FCM	MPID	Clearing Account Numbers

Clearing Member Contact Information

Please provide a contact at each of the Clearing Member(s) and OCC Clearing Members identified above that MIAX Futures can communicate with about your Member status and accounts.

Clearing Member or FCM	Name	Email

III. Disciplinary Information

Please answer the following questions as applicable for the last ten (10) years. For any “yes” answer to the questions below, the Applicant must provide a detailed explanation of the event or conduct. The explanation must be in writing and sent to the MIAX Futures Membership Department at the email address indicated on the first page of this Application. The explanation must include the matter name, when and where the event occurred, parties involved, circumstances, case number, court jurisdiction, allegations/charges, classification of the charges, plea and sentencing information, and the final disposition. If the Applicant is unable to obtain the documents for any criminal matter, the Applicant must provide a letter from the court verifying the documents’ unavailability. Organizations should answer the inquiries presented below on behalf of the entity and any of its principals. Sole Proprietors should answer the inquiries presented below on behalf of themselves and any firms or organizations of which they were a principal when any such activities occurred.

1. Have you ever been denied registration or had a registration suspended, revoked, or conditioned by a governmental or regulatory authority?

Yes No
2. Have you ever been denied membership or clearing privileges by any commodity or securities exchange/clearing organization?

Yes No
3. Has any commodities exchange, securities exchange, clearing organization, or other self-regulatory body ever fined you in an amount exceeding \$150,000 for an organization or \$25,000 for sole proprietorship, or suspended, conditioned, or revoked your privileges?

Yes No
4. Have you ever been convicted, pleaded guilty, entered a plea of “no contest,” or entered into a voluntary settlement as to any violation of any criminal or penal code?

Yes No
5. Are you subject to any current investigation or have any charges been brought by any governmental or regulatory authority or exchange/clearing organization for violation of its laws or rules?

Yes No
6. Do you currently have any judgments, liens, attachments, or other encumbrances filed against you?

Yes No
7. Are you party to any action, or is there a charge pending, the resolution of which could result in a “Yes” answer to the above questions?

Yes No

IV. Applicant Contact Information

Please state N/A in the Name block if a given role is N/A for the Applicant. Also, please provide a DL where possible.

Business Contact:

Name:	Title:
CRD #:	NFA #:
Phone:	Email:

Billing Contact:

Name:	Title:
CRD #:	NFA #:
Phone:	Email:
Billing Email for Invoices:	

Trading Contact:

Name:	Title:
CRD #:	NFA #:
Phone:	Email:

Technical Contact:

Name:	Title:
CRD #:	NFA #:
Phone:	Email:

Legal Contact:

Name:	Title:
CRD #:	NFA #:
Phone:	Email:

Regulatory Contact:

Name:	Title:
CRD #:	NFA #:
Phone:	Email:

Membership Application

Chief Executive Officer:

Name:	Title:
CRD #:	NFA #:
Phone:	Email:

Chief Compliance Officer:

Name:	Title:
CRD #:	NFA #:
Phone:	Email:

Chief Regulatory Officer:

Name:	Title:
CRD #:	NFA #:
Phone:	Email:

Chief Financial Officer:

Name:	Title:
CRD #:	NFA #:
Phone:	Email:

Chief Operating Officer:

Name:	Title:
CRD #:	NFA #:
Phone:	Email:

Authorized Person Form

(Organizations Only)

MIAX Futures Exchange requires firms to designate an Authorized Person(s) who is authorized to deal with the Exchange with respect to their Membership and who shall be authorized to represent the firm before the Exchange in one or both of the following capacities. An Authorized Signatory has apparent signing authority and is authorized to act on behalf of the firm. A Designated Spokesperson has the authority to speak on behalf of the firm for matters concerning their Membership. The Authorized Signatory shall have the authority to make decisions on behalf of the firm including, but not limited to, applying, changing, or withdrawing from Membership. Individuals may be both an Authorized Signatory and a Designated Spokesperson.

The Exchange may only discuss the Application and information provided pursuant thereto with those individuals designated by the firm as a Designated Spokesperson. Changes to the list of Authorized Person(s) may only be made in writing by completing an updated Authorized Person Form and emailing it to the Membership Department.

Authorized Persons				
Name	Job Title	Email	Signatory	Spokesperson

I attest that the information provided above is accurate and complete. This form shall supersede any previously submitted Authorized Person Form.

Signed (on behalf of the Applicant*)

Title

Name (Printed)

Date

*Must be an Officer, Managing Member of an LLC, or Partner. The signor should also be designated as an Authorized Person above. In addition, any individual who has signed any form within this Application must also be listed and qualify as an Authorized Person in this section.

Applicant Acknowledgment and Agreement

Applicant submits this Application for Membership at MIAX Futures Exchange, LLC (“the Exchange”). Applicant represents that it meets all Membership requirements. Applicant acknowledges that it will not receive Member rates for the applicable product class until formal notice of approval from the Exchange.

Applicant hereby agrees that, if it is approved as a Member, it will be subject to the jurisdiction of the Exchange and will comply with and be bound by CFTC Regulations, Exchange Bylaws, Rules, policies, procedures, or other documentation, and all amendments thereto. The Applicant agrees to pay any dues, fees, assessments, and other charges as described in the fee schedule in the manner and amount fixed by the Exchange from time to time.

Applicant authorizes the Exchange to obtain information that it deems necessary and appropriate in order to evaluate and process this Application. Applicant understands that any person or firm that obtains Membership approval through fraudulent representations or concealment, or by any material misstatement, or that otherwise provides inaccurate or incomplete information, shall be subject to Exchange disciplinary action and/or penalties including, but not limited to, suspension or expulsion from Membership pursuant to Exchange Rules.

Membership terms are subject to all applicable regulatory processes, certifications, and/or approvals, and the completion of such processes and receipt of such certifications and/or approvals are conditions precedent to the effectiveness of this Application. **The Exchange shall have the right to monitor all Member trading activity by the Applicant to ensure compliance with the terms and conditions of the Membership and this Application.**

Applicant acknowledges that it must update all information contained in any part of this Application if any of the information provided is or becomes inaccurate or incomplete after the date of submission to the Exchange and prior to its approval. Applicant further acknowledges that, as a condition of Membership approval, the Applicant agrees to notify the Exchange of any substantive change(s) to itself as required by Exchange Rules.

Applicant's Legal Name	
Signature	Title
Name (Printed)	Date