

Obvious and Catastrophic Error Reviews and Appeals

MIAX Options® Exchange

MIAX Pearl® Options Exchange

MIAX Emerald® Options Exchange

MIAX Sapphire™ Options Exchange



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@miaxglobal.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(s) (required):	MIAX	MIAX Pearl	MIAX Emerald	MIAX Sapphire
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

Please save the completed form and attach it to an e-mail to Regulatory@miaxglobal.com.

MIAX Regulatory Department: 609-897-7309