Overview

MIAX Futures Exchange, LLC ("MIAX Futures" or the "Exchange") Market Participants may obtain direct access to the Exchange by having a direct connection to the Electronic Trading System. Market Participants seeking direct access must first apply and be approved as an Onyx Direct Access Participant ("ODAP"). Once approved, ODAPs will also be automatically enrolled in the Preferred Rate Program ("PRP").*

A completed Onyx Direct Access Participant Application, including an executed copy of the Onyx Direct Access Participant Agreement and any supplemental materials requested herein should be sent via email to the Membership Department at MIAXFuturesMembership@miaxglobal.com. All documentation is required to be submitted in English. During its review of this Application, the Exchange may request Applicants to submit documentation in addition to what is required on the Application. Please direct any questions to the Membership Department at the email above.

Application Checklist
• Onyx Direct Access Participant Application
• Ownership chart detailing Applicant's ownership (including percentages of ownership)
• Organization Chart
• Organizational documents, including all amendments (e.g. Certificate of Incorporation, Articles of Incorporation, Operating Agreement, Partnership Agreement, etc.)
• Most recent audited financial statement. If the firm does not have audited statements, please provide the most recent month-end financial statement reflecting the assets, liabilities, and capital of the company.
• Disciplinary documentation, and any supplemental documentation, if applicable
• A copy of a recent day's trading account statement(s) for all accounts at the Applicant's MIAX Futures Exchange Clearing Member indicating that the Applicant's account is open, funded, and properly titled in Applicant's name.
• Direct Access Participant Agreement

The Applicant and Persons associated with the Applicant are subject to investigation by the Exchange. The Exchange may also require any person associated with an ODAP who may possess information relevant to the Applicant's suitability to be an ODAP to provide information or testimony. The Exchange will determine whether to approve an application. Written notice of the Exchange's approval or disapproval decision shall be provided to the Applicant. If applicable, grounds for disapproval will be specified.

Note that no separate application or application fee is required for ODAPs to access the Preferred Rate Program. The PRP participation fee will be assessed monthly. See the MIAX Futures Website and Exchange Rulebook Chapter 7 for additional PRP information.

Applicant Details:

Name and Address

Full Legal Entity Name:

Tax ID #:   CRD #:   NFA #:

Foreign ID #:   Website Address:

Principal Office Mailing Address:

City: State: Zip: Country:

Billing Address:

City: State: Zip: Country:

Address for Service of Documents:

City: State: Zip: Country:

Application Contact: Title:

Phone: Email:

Applicant's Activities:

1.   Type of organization:

   Corporation   Limited Liability Company   Limited Partnership   General Partnership

   Other:

   Organized under the laws of:

   State: Country: Date Established:

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

3. Is the Applicant affiliated with another Onyx Direct Access Participant or a MIAX Futures Clearing Member? If yes, please list the affiliate firms below.

4. If applicable, please state the Applicant's Designated Self-Regulatory Organization.

5. Please list all securities exchanges at which Applicant is a Member. Please also include and indicate any pending memberships.

6. Please list all futures exchanges at which Applicant is a Member. Please also include and indicate any pending memberships.

7. If applicable, list all capacities in which Applicant holds NFA registration(s). Please also include and indicate any pending registrations.

8. List all other domestic or foreign registrations. 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.

9. Please list the MIAX Futures Exchange products that the Applicant currently trades and/or intends to trade.

10. Will the Applicant's trading activity utilize an automated trading system (ATS)?

    Yes   No

11. Please indicate whether the Applicant's trading activity will be for speculative and/or for hedging purposes.

12. Please indicate if the Applicant will day trade, carry positions overnight, or a combination.

13. Indicate the MIAX Futures Clearing Member that will clear the Applicant's trades and the trading account number(s).

Preferred Rate Program Note: Approved ODAPs are automatically enrolled in the PRP and may receive preferential rates on their proprietary trades. PRP rates are assessed at the account number level. If the Applicant desires to amend the account number(s) that receive PRP rates, the Applicant must inform the applicable Clearing Member. The Clearing Member is responsible for ensuring accounts are correctly classified in the MIAX Futures Clearing System.

Clearing Member	Account Number	PRP Account

14.   Does the Applicant intend to connect to Onyx from any country other than the United States? If yes, identify the countries.

15.   If you identified any foreign country in your response above, is the Applicant availing itself of any exemption(s) from registration with a regulatory agency or body (or other basis for not having such a registration) in that country or jurisdiction? If yes, please describe.

16.   Please provide the Applicant's Public Accountant information:

Company Name:

Address:

Contact Name: Phone Number:

Email Address:

Organization Ownership

If applicable, please include an ownership chart detailing the Applicant organization's ownership structure, including percentages of ownership. Additionally, please provide the information requested below for each entity having a 10% or greater interest in the Applicant organization.

Entity Name:

Contact Person Name:

CRD #:   NFA #:   Percentage Ownership:

Address:

City: State: Zip:

Email: Phone:

Entity Name:

Contact Person Name:

CRD #:   NFA #:   Percentage Ownership:

Address:

City: State: Zip:

Email: Phone:

Entity Name:

Contact Person Name:

CRD #:   NFA #:   Percentage Ownership:

Address:

City: State: Zip:

Email: Phone:

Entity Name:

Contact Person Name:

CRD #:   NFA #:   Percentage Ownership:

Address:

City: State: Zip:

Email: Phone:

Entity Name:

Contact Person Name:

CRD #:   NFA #:   Percentage Ownership:

Address:

City: State: Zip:

Email: Phone:

Disciplinary Information

Please answer the following questions. 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 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.

1. Has your entity or its principals ever been denied registration or had a registration suspended, revoked, or conditioned by a governmental or regulatory authority?

    Yes   No

2. Has your entity or its principals 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 in an amount exceeding $150,000, suspended, conditioned, or revoked privileges of your entity or its principals?

    Yes   No

4. Has your entity or its principals 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 your entity or its principals 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. Does your entity or its principals currently have any judgments, liens, attachments, or other encumbrances filed against it?

    Yes   No

7. Are any orders or agreements currently in effect against your entity or its principals?

    Yes   No

8. Are your entity or its principals 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

Disciplinary Information

Business Contact:

Name: Title:

CRD #:   NFA #:

Phone: Email:

Billing Contact:

Name: Title:

CRD #:   NFA #:

Phone: Email:

Trading Contact:

Name: Title:

CRD #:   NFA #:

Phone: Email:

Technical Contact:

Name: Title:

CRD #:   NFA #:

Phone: Email:

Legal Contact:

Name: Title:

CRD #:   NFA #:

Phone: Email:

Modified 5/2025 | v1.0   8

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:

KYC/AML Contact:

Name: Title:

CRD #:   NFA #:

Phone: Email:

Responsible Person(s)

Onyx Direct Access Participants must designate a Responsible Person(s) who will be authorized to grant permission and user access within the Onyx Trading System. More than one Responsible Person may be designated. Responsible Person(s) are responsible for all communications regarding Operator IDs with the Exchange.

Name: Title:

CRD #:   NFA #:

Phone: Email:

Name: Title:

CRD #:   NFA #:

Phone: Email:

Name: Title:

CRD #:   NFA #:

Phone: Email:

Authorized Traders

Attach a continuation sheet if necessary.

Trader Name	Trader Location (Country)	Operator ID

Authorized Traders

Trader Name	Trader Location (Country)	Operator ID

Authorized Person Form

MIAX Futures Exchange requires firms to designate an Authorized Person(s) who is authorized to deal with the Exchange with respect to their Onyx Direct Access Participant status 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 Onyx Direct Access Participant status. The Authorized Signatory shall have the authority to make decisions on behalf of the firm including, but not limited to, applying, changing, or withdrawing their Onyx Direct Access Participant status. 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 at MIAXFuturesMembership@miaxglobal.com.

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.

Onyx Direct Access Participant Agreement

Applicant Firm:

(a) Applicant acknowledges that it meets all requirements to become an Onyx Direct Access Participant.

(b) Applicant hereby agrees that, 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 similar documentation, and all amendments thereto.

(c) Applicant may be the subject of an investigation and/or background check, and therefore authorizes any governmental agency, futures exchange, securities exchange, national securities association, registered futures association, or other entity to furnish to the Exchange, upon its request, any information they may have concerning Applicant and the Applicant hereby releases any such entity from any and all liability of whatsoever nature by reason of furnishing such information to the Exchange.

(d) Applicant authorizes the Exchange to make available to any governmental agency, futures exchange, securities exchange, national securities association, registered futures association, or similar entity any information the Exchange may have concerning Applicant or its Associated Persons, and releases the Exchange from any and all liability in furnishing such information.

(e) The Applicant agrees to pay all dues, fees, assessments, and other charges in the manner and amount as shall from time to time be fixed by the Exchange.

(f) Applicant acknowledges and agrees that all current and future trading activity of the Applicant will conform to the requirements for such trading activity established by the Exchange. Applicant authorizes the Exchange to monitor Applicant's trading activity in MIAX Futures products to ensure compliance with the terms of Applicant's Onyx Direct Access Participant status, this Application, and the MIAX Futures Rulebook.

(g) Applicant agrees to participate in the MIAX Futures Exchange Preferred Rate Program ("PRP").

 i. Applicant acknowledges that it will not receive PRP Rates until formal notice of Onyx Direct Access Participant approval from the Exchange and proper account designation by the Applicant's Clearing Member.

 ii. Applicant agrees that it will comply with all Exchange Rules, policies, procedures, or other applicable requirements and any amendments thereto related to the PRP.

 iii. Applicant agrees to pay any PRP 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.

 iv. Applicant authorizes the Exchange to monitor all PRP trading activity by the Applicant to ensure compliance with the terms and conditions of the PRP.

(h) As a condition of Onyx Direct Access Participation, the Applicant agrees to notify the Exchange of any substantive change(s) to itself or its association with an affiliated firm, including but not limited to, statutory disqualification, censure, a cease and desist order, refusal of registration, expulsion, or other disciplinary action, suspension, investigation, arbitration, or litigation related to material allegation(s) of violation(s) of securities or commodities law or regulation, bankruptcy, or contempt proceeding, injunction, or civil judgment or conviction(s), change in control status, or any other pertinent circumstance.

(i) As a condition of Onyx Direct Access Participation, Applicant agrees to ensure that their request to become an Onyx Direct Access Participant and the activities conducted on the Exchange are lawfully done in accordance with the laws of the jurisdiction in which they are located. Should such a request be made unlawfully, the Exchange shall have the right to terminate such Onyx Direct Access Participant status.

(j) The undersigned represents that all of the information contained in the Onyx Direct Access Participant Application Form and all supplemental materials submitted to the Exchange are true, complete, and accurate, and may be verified by investigation.

(k) The Applicant agrees to promptly update its application materials if any of the information provided is or becomes inaccurate or incomplete after the date of submission of its application to the Exchange and prior to its approval.

Entity Name: Signature:

Name: Date:

Title: