

DATE: February 1, 2017

TO: MIAX PEARL Members

FROM: MIAX PEARL Membership Department

RE: CRD Registration for MIAX PEARL, LLC

Effective Monday, February 6, 2017, MIAX PEARL, LLC (“MIAX PEARL”, “PEARL” or “Exchange”) will be available for registration on FINRA’s Web CRD system for both Form BD and Form U-4 applicants.

The qualifying registration categories are identical to the MIAX Options Exchange, an affiliated self-regulatory organization of MIAX PEARL.

For approved MIAX Options member firms that opted to waive-in their membership to PEARL, an effective date of February 6 will automatically be entered into their CRD register file for the new exchange. These firms will have up to twenty-one (21) business days following the effective date to register their members, associated persons and designated principals according to PEARL Rules 203 and 601(b).

Attached is a link to MIAX PEARL rules: <http://www.miaxoptions.com/rulebook/pearl>.

Updates may also be found on MIAX PEARL’s Trader Alert Page:
<http://www.miaxoptions.com/alerts/pearl>.

Dependent on your CRD system’s functionality, you may either manually enter Form U-4 requests or mass upload your firm’s registered persons in an electronic file transfer to PEARL. Please contact FINRA’s Gateway Hotline (301) 590-6500 for registration assistance.

Attached is a link to FINRA’s home page for more information: <http://www.finra.org/industry/crd>

For questions related to qualifying PEARL registrations, please contact John Cunningham, Member Services @ 609.897.1479 or via email @ jcunningham@miami-holdings.com.