

MIAX Options Exchange Regulatory Circular 2022-39
MIAX Pearl Options Exchange Regulatory Circular 2022-37
MIAX Emerald Options Exchange Regulatory Circular 2022-35
MIAX Pearl Equities Exchange Regulatory Circular 2022-03

DATE: July 1, 2022

TO: MIAX Exchange Group Members

FROM: MIAX Exchange Group Regulatory Department

RE: Amendments to MIAX Rules for Registration Requirements, Continuing Education Requirements, and Electronic Filing Requirements for Uniform Forms

This Regulatory Circular is to inform MIAX Options, MIAX Pearl and MIAX Emerald Members that a proposed rule change to amend all three Exchanges' Rules¹ for Registration Requirements, Continuing Education Requirements, and Electronic Filing Requirements for Uniform Forms has become effective, pursuant to a notice recently issued by the Securities and Exchange Commission ("SEC").

Among other changes, the proposed rule change requires that the Regulatory Element of continuing education be completed annually rather than every three years and provide a path through continuing education for individuals to maintain their qualification following the termination of a registration. The proposed rule change also amends its manual signature requirements in all three Exchanges' Electronic Filing Requirements for Uniform Forms rule to permit electronic signature on Form U4 filings.

MIAX Options, MIAX Pearl and MIAX Emerald encourage all Members to review these changes in their entirety, which can be found in the rule filings, [SR-MIAX-2022-23](#), [SR-PEARL-2022-25](#), and [SR-EMERALD-2022-22](#) respectively.

Contact MIAX Trading Operations at TradingOperations@MIAXOptions.com or (609) 897-7302 with any questions about the changes.

Regulatory inquiries should be directed to Regulatory@MIAXOptions.com or (609) 897-7309.

¹ MIAX Options and MIAX Emerald Rules 1900, Registration Requirements, 1903, Continuing Education Requirements, and 1904, Electronic Filing Requirements for Uniform Forms. MIAX Pearl Rules 3100, Registration Requirements, 3103, Continuing Education Requirements, and 3104, Electronic Filing Requirements for Uniform Forms.