

Clearly Erroneous Error Review or Appeal

MIAX Pearl Equities Exchange

The logo for MIAX Pearl Equities Exchange, featuring the word "miax" in a lowercase, sans-serif font with a trademark symbol (TM) to the upper right. Above the text is a horizontal line.

MIAX Pearl Equities Members seeking a Clearly Erroneous Error Review or Appeal must provide the following information to the Regulatory Division at Regulatory@miaxglobal.com.

- This form must be submitted within thirty (30) minutes of execution time (for Clearly Erroneous reviews) or ruling time (for Appeals) and contain the information requested below.

Select Exchange(s) (required): MIAX Pearl Equities Exchange

1. Date:

2. Firm Name:

3. MPID(s):

4. Contact Name:

5. Phone Number:

6. E-mail:

7. Type of Review: Clearly Erroneous Appeal

8. If adjustment is preferred over bust, indicate preferred price:

9. Time of Execution (ET):

10. Equity Security(ies):

11. Trade Size:

12. Price:

13. Additional Notes

For multiple errors, attach an Excel spreadsheet containing the information above.

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

MIAX Regulatory Department: 609-897-7309