**Stock-Tied Complex Order Authorization**

**MIAX Emerald, LLC**

MIAX Emerald, LLC (“MIAX Emerald” or the “Exchange”) Member Firms should use this form to request participation in Complex Orders containing a stock component on MIAX Emerald. Please fill out this form in its entirety and return to MIAX Emerald Membership (see Section F below).

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| **Section A – General Member Information** | | | | | |
| Member Firm: | |  | | | |
| Contact name: | | |  | | |
| CRD No.: |  | | | Phone: |  |
| Email: |  | | | | |
| **Section B – Firm-Based Account Configuration (Order-by-Order Basis)** | | | | | |
| On a Firm-level basis, provide the following Stock Account MPID(s) which will be used to trade Complex Order strategies with a stock component. | | | | | |
| **Stock Account MPID(s)** | | | | | |
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| * If sending stock clearing instructions on an order-by-order basis, EEMs have the option to specify a default stock clearing account within this Section. * Alternatively, in the absence of an order-by-order basis, please use Section C. * Electronic Exchange Members (EEM) must complete either Section B or Section C. * Please use an attachment if needed. | | | | | |
| **Section C – MPID-Based Account Configuration** | | | | | |
| Provide the following information for each MIAX Emerald MPID which will be used to trade Complex Order strategies with a stock component. | | | | | |
| **Column A** | | | | **Column B** | |
| **MIAX Emerald MPID** | | | | **Stock Account MPID** | |
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| * By providing MPID-based account information, MIAX Emerald will pre-configure your stock clearing information using Column A and Column B above. * Market-Makers must complete both Column A and Column B. * Please use an attachment if needed. | | | | | |
| **Section D – Clearing Path** | | | | | |
| Check the desired clearing path for stock component.  1. **ACT** – Requires Uniform Service Bureau/Executing Broker Agreement (AGU) with FINRA Transparency Services2. **Direct to NSCC** – Requires Qualified Special Representative (QSR Form submitted via DTCC Portal) arrangement with FINRA | | | | | |

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| **Section E – Supplemental Material** | |
| * ***FINRA Transparency Services Uniform Executing Broker Agreement (AGU)*** *–*  FINRA member firms who wish to participate in the Complex Order System are required to execute this Agreement. * ***QSR Arrangement (DTCC Portal)*** *–* Member firms which are not a FINRA member and have no access to ACT via its clearing firm, must have its clearing firm enter into this arrangement with FINRA. * ***MPID & Session Request Form*** *–* Member firms that do not have an assigned MPID must request one by submitting this form to MIAX Emerald Membership. * In accordance with Rule 518 Interpretation and Policy .01(a), to participate in stock-option order processing, a member firm must give up a Clearing Member previously identified to and processed by the Exchange as a Designated Give Up for that member firm, and which has entered into a *Uniform Executing Broker Agreement* with FINRA Transparency Services. | |
| **Section F – Signatures** | |
| Authorized Signatory MIAX Emerald Member Firm    Print Name/Title    Date | Authorized Signatory Stock Facilitating Broker    Print Name/Title    Date |
| **Section G – Submission** | |
| Please submit your completed form electronically to MIAX Emerald Membership: membership@MIAXOptions.com. Questions may be directed to MIAX Emerald Membership at 609-897-1479. | |