



MIAMI INTERNATIONAL SECURITIES EXCHANGE, LLC

Statutory Disqualification Notice

Pursuant to the Securities Exchange Act of 1934, as amended (the "Act") and Miami International Securities Exchange, LLC. ("Exchange") Rule 204, the Exchange may deny (or may condition) membership or may bar a person from becoming associated (or may condition an association) with a Member for the same reasons that the Securities and Exchange Commission may deny or revoke a broker-dealer registration under the Act. The Act provides for Statutory Disqualification if a person has:

1. Been expelled, barred or suspended from membership in or being associated with a member of a self regulatory organization;
2. Had broker, dealer or similar privileges denied or suspended or caused such denial or suspension of another;
3. Violated any provision of the Act; or
4. Been convicted of a theft or securities related misdemeanor or any felony within ten (10) years of the date of applying for membership status or becoming an Associated Person.

Have person(s) associated with the Applicant Broker-Dealer been or may be subject to Statutory Disqualification. Yes No

If yes, please identify any such person(s) associated with the Applicant Broker-Dealer who is or may be subject to Statutory Disqualification. Additionally, identify any such person(s) who are associated with the Applicant Broker-Dealer and who have been approved for association or continued association by another SRO due to a Statutory Disqualification. *Attach a sheet identifying any such person(s), including the following information:

1. Name and social security number of the person(s).
2. Copies of documents relating to the Statutory Disqualification.
3. Description of each such person's duties (for non-registered individuals, this should include a statement indicating if the position allows access to books, records, funds or securities).
4. Explanation of action taken or approval given by any other SRO regarding each person.

On behalf of (Applicant Broker-Dealer), I hereby attest and affirm that I have read and understand the above and the attached information, and that the answers and the information provided (including copies of any documents) are true and complete to the best of my knowledge. I acknowledge that the Exchange shall rely on the information provided pursuant to this Notice in order to approve or deny Applicant Broker-Dealer's application for membership. I understand that Applicant Broker-Dealer will be subject to a disciplinary action if false or misleading answers are given pursuant to this Notice. I also acknowledge the obligation of Applicant Broker-Dealer to submit to the Exchange any amendment to any document submitted as part of its application, including but not limited to this Notice, within ten (10) business days of such amendment or change.

Signature of Authorized Officer, Partner,
Managing Member or Sole Proprietor

Date

Title