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| Form 1<br>Page 1<br>Execution<br>Page | <b>UNITED STATES SECURITIES AND EXCHANGE COMMISSION</b><br><b>WASHINGTON, D.C. 20549</b><br><b>APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR,</b><br><b>REGISTRATION AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION</b><br><b>FROM REGISTRATION PURSUANT TO SECTION 5 OF THE EXCHANGE ACT</b> | Date filed<br>(MM/DD/YY):<br><br>10/___/14 | OFFICIAL<br>USE ONLY |
|---------------------------------------|--|--|----------------------|

Warning: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise comply with the provisions of law applying to the conduct of the applicant would violate the federal securities laws and may result in disciplinary, administrative or criminal action

INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS

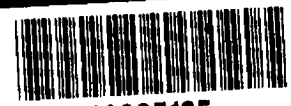
APPLICATION  AMENDMENT

1. State the name of the applicant: Miami International Securities Exchange, LLC

2. Provide the applicant's primary street address (Do not use a P.O. Box): 7 Roszel Road, 5<sup>th</sup> Floor, Princeton, NJ 08540

3. Provide the applicant's mailing address (if different):

4. Provide the applicant's business telephone and facsimile number:  
Telephone: 609-897-7300; Facsimile: 609-987-2210



14035125

5. Provide the name, title and telephone number of a contact employee: Barbara J. Comly, General Counsel, Miami International Securities Exchange, LLC (609-897-7300)

6. Provide the name and address of counsel for the applicant:  
Barbara J. Comly, General Counsel  
Miami International Securities Exchange, LLC  
7 Roszel Road, 5<sup>th</sup> Floor  
Princeton, NJ 08540

7. Provide the date applicant's fiscal year ends: December 31

8. Indicate legal status of applicant:  Corporation  Sole Proprietorship  Partnership  
 Limited Liability Company  Other (specify):

If other than a sole proprietor, indicate the date and place where applicant obtained its legal status (e.g. state where incorporated, place where partnership agreement was filed or where applicant entity was formed):

(a) Date (MM/DD/YY): 9/10/07 (b) State/Country of formation: Delaware

(c) Statute under which applicant was organized: Delaware Limited Liability Company Act, 6 Del. C. 18-1d et seq.

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**EXECUTION:** The applicant consents that service of any civil action brought by, or notice of any proceeding before, the Securities and Exchange Commission in connection with the applicant's activities may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2 and 3. The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with the authority of, said applicant. The undersigned and applicant represent that the information and statements contained herein, including exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true, and complete.

Miami International Securities Exchange, LLC

Date: September 30, 2014

By: Barbara J. Comly  
Barbara J. Comly, General Counsel

Subscribed and sworn before me this 30<sup>th</sup> day of September, 2014.

Jane Sciarra  
Jane Sciarra  
Notary Public of the State of New Jersey  
My Commission Expires October 27, 2014

This page must always be completed in full with original, manual signature and notarization. Affix notary stamp or seal where applicable.

Exhibit M

## **Exhibit M**

### **Exhibit Request:**

Provide an alphabetical list of all members, subscribers or other users, including the following information:

1. Name;
2. Date of election to membership or acceptance as a member, subscriber or other user;
3. Principal business address and telephone number;
4. If member, subscriber or other user is an individual, the name of the entity with which such individual is associated and the relationship of such individual to the entity (e.g. partner, officer, director, employee, etc.);
5. Describe the type of activities primarily engaged in by the member, subscriber, or other user (e.g. floor broker, specialist, odd lot dealer, other market maker, proprietary trader, non-broker dealer, inactive or other functions). A person shall be "primarily engaged" in an activity or function for purposes of this item when that activity or function is the one in which that person is engaged for the majority of their time. When more than one type of person at an entity engages in any of the six types of activities or functions enumerated in this item, identify each type (e.g. proprietary trader, Registered Competitive Trader and Registered Competitive Market Maker) and state the number of participants, subscribers, or other users in each; and
6. The class of membership, participation or subscription or other access.

### **Response:**

Attached is a list of the members of the Exchange as of September 30, 2014 including the information set forth in items 1-6 above.



## MEMBER FIRMS

Total Firm 37

As of 30-Sep-14

Member Firm:

### ABN AMRO CLEARING CHICAGO LLC

175 West Jackson Blvd., Ste. 400

Chicago IL 60604

Tele #: (312) 604-8000

Approval Date: 3/7/2013

Membership Type: EEM: CLEARANCE

Classification: MEMBER FIRM

Approval Date: 12/7/2012

Membership Type: EEM: ORD FLOW/CLEAR

Classification: MEMBER FIRM

Approval Date: 12/7/2012

Membership Type: ALL MEMBERSHIPS

Classification: MEMBER FIRM

Approval Date: 4/21/2014

Membership Type: EEM: ORD FLOW/CLEAR

Classification: MEMBER FIRM

Approval Date: 12/7/2012

Membership Type: PL/EEM: ORD FLOW

Classification: MEMBER FIRM

Approval Date: 12/7/2012

Membership Type: EEM: ORD FLOW/CLEAR

Classification: MEMBER FIRM

Approval Date: 12/7/2012

Membership Type: EEM: ORD FLOW/CLEAR

Classification: MEMBER FIRM

Approval Date: 12/7/2012

Membership Type: EEM: ORD FLOW/CLEAR

Classification: MEMBER FIRM

Approval Date: 1/25/2013

Membership Type: EEM: ORD FLOW/CLEAR

Classification: MEMBER FIRM

Approval Date: 12/7/2012

Membership Type: EEM: ORDER FLOW

Classification: MEMBER FIRM

Approval Date: 12/7/2012

Membership Type: EEM: CLEARANCE

Classification: MEMBER FIRM

Approval Date: 1/15/2013

Membership Type: PL/LMM

Classification: MEMBER FIRM

Approval Date: 8/26/2014

Membership Type: RMM

Classification: MEMBER FIRM

Approval Date: 3/27/2013

Membership Type: EEM: ORD FLOW/CLEAR

Classification: MEMBER FIRM

### AUTOMATED TRADING DESK FINANCIAL SERVICES, LLC

11 Ewall Street

Mt. Pleasant SC 29464

Tele #: (843) 789-2080

### BARCLAYS CAPITAL INC.

745 Seventh Avenue

New York NY 10019

Tele #: (212) 526-7000

### BNP PARIBAS SECURITIES CORP.

787 Seventh Avenue

New York NY 10019

Tele #: (212) 841-2000

### CITADEL SECURITIES LLC

131 South Dearborn Street

Chicago IL 60603

Tele #: (312) 395-2100

### COMPASS PROFESSIONAL SERVICES, LLC

111 W. Jackson Blvd., 20th Fl.

Chicago IL 60604

Tele #: (312) 692-5000

### CREDIT SUISSE SECURITIES (USA) LLC

11 Madison Avenue, 3rd Fl.

New York NY 10010

Tele #: (212) 325-2000

### DASH FINANCIAL LLC

910 Van Buren Street, 4th Fl.

Chicago IL 60607

Tele #: (847) 550-1730

### DEUTSCHE BANK SECURITIES INC.

60 Wall Street

New York NY 10005

Tele #: (212) 250-2500

### GLOBAL EXECUTION BROKERS, LP

401 City Avenue, Ste. 200

Bala Cynwyd PA 19004

Tele #: (610) 617-2600

### GOLDMAN SACHS EXECUTION & CLEARING, L.P.

200 West Street

New York NY 10282

Tele #: (212) 902-1000

### GOLDMAN, SACHS & CO.

200 West Street

New York NY 10282

Tele #: (212) 902-1000

### IMC-CHICAGO, LLC D/B/A IMC FINANCIAL MARKETS

233 South Wacker Drive, #4300

Chicago IL 60606

Tele #: (312) 244-3300

### INSTINET, LLC

1095 Avenue of the Americas

New York NY 10036

Tele #: (212) 310-9500

Member Firm:

|   |                        |   |
|---|------------------------|---|
| <b>INTERACTIVE BROKERS LLC</b><br>One Pickwick Plaza, 2nd Fl.<br>Greenwich CT 06830                 | Tele #: (203) 618-5710 | Approval Date: 12/7/2012<br>Membership Type: EEM: ORD FLOW/CLEAR<br>Classification: MEMBER FIRM |
| <b>ITG DERIVATIVES LLC</b><br>601 S. LaSalle, Ste. 300<br>Chicago IL 60606                          | Tele #: (312) 935-0125 | Approval Date: 12/7/2012<br>Membership Type: EEM: ORDER FLOW<br>Classification: MEMBER FIRM     |
| <b>J.P. MORGAN CLEARING CORP.</b><br>3 Chase Metrotech Center<br>Brooklyn NY 11245                  | Tele #: (347) 643-1000 | Approval Date: 12/7/2012<br>Membership Type: EEM: CLEARANCE<br>Classification: MEMBER FIRM      |
| <b>J.P. MORGAN SECURITIES LLC</b><br>383 Madison Avenue<br>New York NY 10179                        | Tele #: (201) 595-8471 | Approval Date: 12/7/2012<br>Membership Type: EEM: ORDER FLOW<br>Classification: MEMBER FIRM     |
| <b>JEFFERIES LLC</b><br>520 Madison Avenue<br>New York NY 10022                                     | Tele #: (212) 284-2300 | Approval Date: 9/15/2014<br>Membership Type: EEM: ORD FLOW/CLEAR<br>Classification: MEMBER FIRM |
| <b>KCG AMERICAS LLC</b><br>545 Washington Boulevard<br>Jersey City NJ 07310                         | Tele #: (201) 386-2891 | Approval Date: 12/7/2012<br>Membership Type: ALL MEMBERSHIPS<br>Classification: MEMBER FIRM     |
| <b>LEK SECURITIES CORPORATION</b><br>1 Liberty Plaza, 165 Broadway, 52nd Fl<br>New York NY 10006    | Tele #: (212) 509-2300 | Approval Date: 6/5/2014<br>Membership Type: EEM: ORD FLOW/CLEAR<br>Classification: MEMBER FIRM  |
| <b>LIME BROKERAGE LLC</b><br>625 Broadway, 12th Fl.<br>New York NY 10012                            | Tele #: (212) 824-5000 | Approval Date: 12/7/2012<br>Membership Type: EEM: ORDER FLOW<br>Classification: MEMBER FIRM     |
| <b>LIQUIDPOINT, LLC</b><br>311 South Wacker Drive, Ste. 4700<br>Chicago IL 60606                    | Tele #: (312) 986-2006 | Approval Date: 12/7/2012<br>Membership Type: EEM: ORD FLOW/CLEAR<br>Classification: MEMBER FIRM |
| <b>MERRILL LYNCH PROFESSIONAL CLEARING CORP.</b><br>One Bryant Park, 6th Fl.<br>New York NY 10036   | Tele #: (646) 743-1295 | Approval Date: 12/7/2012<br>Membership Type: ALL MEMBERSHIPS<br>Classification: MEMBER FIRM     |
| <b>MERRILL LYNCH, PIERCE, FENNER &amp; SMITH INCORPORAT</b><br>One Bryant Park<br>New York NY 10036 | Tele #: (212) 449-1000 | Approval Date: 12/7/2012<br>Membership Type: EEM: ORD FLOW/CLEAR<br>Classification: MEMBER FIRM |
| <b>MORGAN STANLEY &amp; CO. LLC</b><br>1585 Broadway<br>New York NY 10036                           | Tele #: (212) 761-4000 | Approval Date: 12/7/2012<br>Membership Type: ALL MEMBERSHIPS<br>Classification: MEMBER FIRM     |
| <b>PERSHING LLC</b><br>1 Pershing Plaza, 10th Fl.<br>Jersey City NJ 07399                           | Tele #: (201) 413-2000 | Approval Date: 3/12/2013<br>Membership Type: EEM: CLEARANCE<br>Classification: MEMBER FIRM      |
| <b>SET TRADING PARTNERS, LLC</b><br>230 So. LaSalle St., Ste. 4-100<br>Chicago IL 60604             | Tele #: (312) 360-2440 | Approval Date: 9/20/2013<br>Membership Type: EEM: ORDER FLOW<br>Classification: MEMBER FIRM     |
| <b>SOUTHWEST SECURITIES, INC.</b><br>1201 Elm Street, Ste. 3500<br>Dallas TX 75270                  | Tele #: (214) 859-1800 | Approval Date: 2/8/2013<br>Membership Type: EEM: CLEARANCE<br>Classification: MEMBER FIRM       |
| <b>SUSQUEHANNA SECURITIES</b><br>401 City Avenue, Ste. 220<br>Bala Cynwyd PA 19004                  | Tele #: (610) 617-2600 | Approval Date: 12/7/2012<br>Membership Type: PLMM<br>Classification: MEMBER FIRM                |
| <b>TIMBER HILL LLC</b><br>One Pickwick Plaza, Ste. 200<br>Greenwich CT 06830                        | Tele #: (203) 618-5800 | Approval Date: 12/7/2012<br>Membership Type: PL/L/RMM/EEM: CLEAR<br>Classification: MEMBER FIRM |

**Member Firm:**

**UBS SECURITIES LLC**

677 Washington Boulevard  
Stamford CT 06901

Tele #: (203) 719-3000

Approval Date: 12/7/2012

Membership Type: EEM: ORD FLOW/CLEAR

Classification: MEMBER FIRM

**VOLANT LIQUIDITY, LLC**

7 World Trade Center, Ste. 3301  
New York NY 10007

Tele #: (646) 484-3000

Approval Date: 5/31/2013

Membership Type: EEM: ORDER FLOW

Classification: MEMBER FIRM

**WEDBUSH SECURITIES INC.**

1000 Wilshire Boulevard  
Los Angeles CA 90017

Tele #: (213) 688-8090

Approval Date: 12/7/2012

Membership Type: EEM: CLEARANCE

Classification: MEMBER FIRM

**WELLS FARGO SECURITIES, LLC**

550 South Tryon Street, 6th Floor  
Charlotte NC 28202

Tele #: (704) 715-6133

Approval Date: 4/11/2014

Membership Type: EEM: ORD FLOW/CLEAR

Classification: MEMBER FIRM

**WOLVERINE EXECUTION SERVICES, LLC**

175 W. Jackson Blvd., Ste. 200  
Chicago IL 60604

Tele #: (312) 884-4000

Approval Date: 12/7/2012

Membership Type: EEM: ORD FLOW/CLEAR

Classification: MEMBER FIRM

**WOLVERINE TRADING, LLC**

175 W. Jackson Blvd., Ste. 200  
Chicago IL 60604

Tele #: (312) 884-3490

Approval Date: 12/7/2012

Membership Type: PL/LMM

Classification: MEMBER FIRM

Activity Key - Market Maker:  
PL = Primary Lead; L = Lead;  
R = Regular

MIAX  
Co-2

RT 725 4

FZ 0761 10.01

From: (609) 897-8174  
Barbara J. Comly, Esq.  
Miami International Holdings, Inc.  
7 Roszel Road, 5th Fl  
Princeton, NJ 08540

Origin ID: PRIA

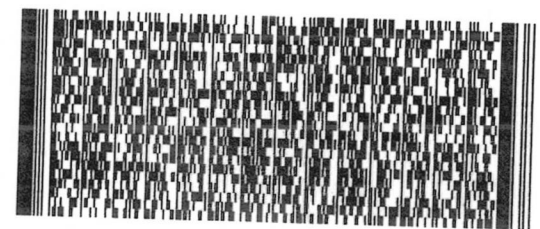


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