| *  |  | $\mathbb{N}^{\mathbb{N}}$  |  |
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|  |  |  | 0.55011  |
| Form 1<br>Page 1                         | UNITED STATES SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549  | Date filed<br>(MM/DD/YY):  | OFFICIAL<br>USE ONLY   |
| Execution<br>Page                        | APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR, REGISTRATION AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION FROM REGISTRATION PURSUANT TO SECTION 5 OF THE EXCHANGE ACT  | 10//14   |  |
| keep accurate                            | ciliure to keep this form current and to file accurate supplementary information on a timely basis, to books and records or otherwise comply with the provisions of law applying to the conduct of the leral securities laws and may result in disciplinary, administrative or criminal action   | or the failure to applicant would  |  |
|  | INTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOL  | ATIONS   |  |
|  | APPLICATION AMENDMENT  |  |  |
| 1. State the                             | name of the applicant: Miami International Securities Exchange, LLC  |  |  |
| 2. Provide ti<br>Pri                     | ne applicant's primary street address (Do note use a P.O. Box): 7 Roszel Road, 5 <sup>th</sup> Flor<br>nceton, NJ 08540  | or,  | THE RESERVE THE RIPE STATE STA |
|  | ne applicant's mailing address (if different):   |  |  |
| 4. Provide t                             | ne applicant's business telephone and facsimile number:<br>lephone: 609-897-7300; Facsimile: 609-987-2210  | ) jugget Hall Blant<br>14  | 035126   |
| 5. Provide t<br>Mi                       | ne name, title and telephone number of a contact employee: Barbara J. Comly, Genera<br>ami International Securities Exchange, LLC (609-897-7300)   | al Counsel,  |  |
| l Ba                                     | he name and address of counsel for the applicant:<br>rbara J. Comly, General Counsel   |  |  |
| Mia<br>7 F                               | ami International Securities Exchange, LLC<br>Roszel Road, 5 <sup>th</sup> Floor   |  |  |
|  | nceton, NJ 08540   | 10   | 8 2  |
| 7. Provide t                             | he date applicant's fiscal year ends: December 31  |  | 10:  |
| 8. Indicate                              | egal status of applicant:   Corporation   Sole Proprietorship   Partnershi  Limited Liability Company   Other (specify):   | p  |  |
| If other the where income                | nan a sole proprietor, indicate the date and place where applicant obtained its legal s<br>corporated, place where partnership agreement was filed or where applicant entity was   | tatus (e.g. state formed):   | ]<br>[: [6   |
| (a) Date                                 | (MM/DD/YY): 9/10/07 (b) State/Country of formation: Delaware   |  |  |
| (c) Statu                                | tte under which applicant was organized: Delaware Limited Liability Company Act, 6   | Del. C. 18-1d et   |  |
| EXECUTIO                                 | N: The applicant consents that service of any civil action brought by, or notice of  | any proceeding   |  |
| registered<br>mailing add<br>that he/she | Securities and Exchange Commission in connection with the applicant's activities more certified mail or confirmed telegram to the applicant's contact employee at the more significant, given in Items 2 and 3. The undersigned, being first duly sworn, dechas executed this form on behalf of, and with the authority of, said applicant. The undersepresent that the information and statements contained herein, including exhibits, schattached hereto, and other information filed herewith, all of which are made a part hereomplete. | nam address, or<br>poses and says<br>indersigned and<br>edules, or other |  |
| ,,                                       | Miami International Securities Exchange, LLC   |  |  |
| Date: Oct                                | ober 28, 2014  By: Subara J. Comly, General Counsel  |  |  |
| Subscribed                               | I and sworn before me this 28 <sup>th</sup> day of October, 2014.  |  |  |
| ) Qu                                     | e Ju   |  |  |
| Notary Put My Commi                      | olic of the State of New Jersey ssion Expires October 27, 2019   |  |  |
|  | must always be completed in full with original, manual signature and notarizatio   | n. Affix notary  |  |

#### 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 October 28, 2014 including the information set forth in items 1-6 above.



### **MEMBER FIRMS**

Total Firm 39

As of 28-Oct-14

|          | _   |           |  |
|----------|-----|-----------|--|
| Mam      | hor | Firm:     |  |
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|---|--|--|
| ABN AMRO CLEARING CHIC  | AGO LLC  | Approval Date: 3/7/2013  |
| 175 West Jackson Blvd., Ste. 4  | 00   | Membership Type: EEM: CLEARANCE  |
| Chicago IL 6060   | Tele #: (312) 604-8000   | Classification: MEMBER FIRM  |
| AUTOMATED TRADING DESI  | K FINANCIAL SERVICES, LLC  | Approval Date: 12/7/2012   |
| 11 Ewall Street   |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| Mt. Pleasant SC 2946  | 54 Tele #: (843) 789-2080  | Classification: MEMBER FIRM  |
| BARCLAYS CAPITAL INC.   |  | Approval Date: 12/7/2012   |
| 745 Seventh Avenue  |  | Membership Type: ALL MEMBERSHIPS   |
| New York NY 1001  | 9 Tele #: (212) 526-7000   | Classification: MEMBER FIRM  |
| BMO CAPITAL MARKETS CO  | ORP.   | Approval Date: 10/10/2014  |
| 3 Times Square, 27th Floor  |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| New York NY 1003  | Tele #: (212) 885-4000   | Classification: MEMBER FIRM  |
| BNP PARIBAS SECURITIES C  | ORP.   | Approval Date: 4/21/2014   |
| 787 Seventh Avenue  |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| New York NY 1001  | 9 Tele #: (212) 841-2000   | Classification: MEMBER FIRM  |
| CITADEL SECURITIES LLC  |  | Approval Date: 12/7/2012   |
| 131 South Dearborn Street   |  | Membership Type: PL/EEM: ORD FLOW  |
| Chicago IL 6060   | Tele #: (312) 395-2100   | Classification: MEMBER FIRM  |
| COMPASS PROFESSIONAL SE   | ERVICES, LLC   | Approval Date: 12/7/2012   |
| 111 W. Jackson Blvd., 20th Fl.  |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| Chicago IL 6060   | Tele #: (312) 692-5000   | Classification: MEMBER FIRM  |
| CREDIT SUISSE SECURITIES  | (USA) LLC  | Approval Date: 12/7/2012   |
| 11 Madison Avenue, 3rd Fl.  |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| New York NY 1001  | 0 Tele #: (212) 325-2000   | Classification: MEMBER FIRM  |
| DASH FINANCIAL LLC  |  | Approval Date: 12/7/2012   |
| 910 Van Buren Street, 4th Fl.   |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| Chicago IL 6060   | 7 Tele #: (847) 550-1730   | Classification: MEMBER FIRM  |
| DEUTSCHE BANK SECURITIE   | ES INC.  | Approval Date: 1/25/2013   |
| 60 Wall Street  |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| New York NY 1000  | Tele #: (212) 250-2500   | Classification: MEMBER FIRM  |
| GLOBAL EXECUTION BROKE  | ERS, LP  | Approval Date: 12/7/2012   |
| 401 City Avenue, Ste. 200   |  | Membership Type: EEM: ORDER FLOW   |
| Bala Cynwyd PA 1900   | Tele #: (610) 617-2600   | Classification: MEMBER FIRM  |
| GOLDMAN SACHS EXECUTION   | ON & CLEARING, L.P.  | Approval Date: 12/7/2012   |
| 200 West Street   |  | Membership Type: EEM: CLEARANCE  |
| New York NY 1028  | 2 Tele #: (212) 902-1000   | Classification: MEMBER FIRM  |
| GOLDMAN, SACHS & CO.  |  | Approval Date: 1/15/2013   |
| 200 West Street   |  | Membership Type: PL/LMM  |
| New York NY 1028  | 2 Tele #: (212) 902-1000   | Classification: MEMBER FIRM  |
| GROUP ONE TRADING LP  |  | Approval Date: 10/20/2014  |
| 440 South La Salle - Ste. 3232  |  | Membership Type: PL/L/RMM/EEM: ORD FLOW  |
| Chicago IL 6060   | 5 Tele #: (312) 347-8864   | Classification: MEMBER FIRM  |

# Member Firm:

| Member Film.   | registance and the second control of the sec | Administrative of the control of the | وردان والروز وروزوستان الدوران والروزوس فوالعوال والرواقعون والمستدد الوالو والمتازي والما الجوارد |
|--|--|--|--|
| IMC-CHICAGO, LLC   | D/B/A IMC FINANCIAL N  | <b>IARKETS</b>   | Approval Date: 8/26/2014   |
| 233 South Wacker D   | rive, #4300  |  | Membership Type: RMM   |
| Chicago II   | 60606  | Tele #: (312) 244-3300   | Classification: MEMBER FIRM  |
| INSTINET, LLC  |  |  | Approval Date: 3/27/2013   |
| 1095 Avenue of the   | Americas   |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| New York N   | Y 10036  | Tele #: (212) 310-9500   | Classification: MEMBER FIRM  |
| INTERACTIVE BROK   | XERS LLC   |  | Approval Date: 12/7/2012   |
| One Pickwick Plaza,  | 2nd Fl.  |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| Greenwich C  | T 06830  | Tele #: (203) 618-5710   | Classification: MEMBER FIRM  |
| ITG DERIVATIVES L  | LC   | to the state of th | Approval Date: 12/7/2012   |
| 601 S. LaSalle, Ste. 3   | 300  |  | Membership Type: EEM: ORDER FLOW   |
| Chicago II   |  | Tele #: (312) 935-0125   | Classification: MEMBER FIRM  |
| J.P. MORGAN CLEAR  |  |  | Approval Date: 12/7/2012   |
| 3 Chase Metrotech C  |  |  | Membership Type: EEM: CLEARANCE  |
|  | Y 11245  | Tele #: (347) 643-1000   | Classification: MEMBER FIRM  |
| J.P. MORGAN SECUR  | and the second s | 200 10 (001) 030 2000  | Approval Date: 12/7/2012   |
| 383 Madison Avenue   |  |  | Membership Type: EEM: ORDER FLOW   |
|  | Y 10179  | Tele #: (201) 595-8471   | Classification: MEMBER FIRM  |
| JEFFERIES LLC  | 10177  | 1010 #. (201) 373-04/1   | Approval Date: 9/15/2014   |
| 520 Madison Avenue   |  |  |  |
|  |  | Tale #1 (212) 284 2200   | Membership Type: EEM: ORD FLOW/CLEAR   |
| New York N   | •  | Tele #: (212) 284-2300   | Classification: MEMBER FIRM  |
| KCG AMERICAS LLC   |  |  | Approval Date: 12/7/2012   |
| 545 Washington Bou   |  | T. 1. // (201) 207 2001  | Membership Type: ALL MEMBERSHIPS   |
| Jersey City N  |  | Tele #: (201) 386-2891   | Classification: MEMBER FIRM  |
| LEK SECURITIES CO  |  |  | Approval Date: 6/5/2014  |
| 1 Liberty Plaza, 165   |  | T. 1. // (010) 500 0000  | Membership Type: EEM: ORD FLOW/CLEAR   |
| The state of the s | Y 10006  | Tele #: (212) 509-2300   | Classification: MEMBER FIRM  |
| LIME BROKERAGE I   |  |  | Approval Date: 12/7/2012   |
| 625 Broadway, 12th   |  |  | Membership Type: EEM: ORDER FLOW   |
| New York N   | Y 10012  | Tele #: (212) 824-5000   | Classification: MEMBER FIRM  |
| LIQUIDPOINT, LLC   |  |  | Approval Date: 12/7/2012   |
| 311 South Wacker D   | •  |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| Chicago II   |  | Tele #: (312) 986-2006   | Classification: MEMBER FIRM  |
| MERRILL LYNCH PR   | OFESSIONAL CLEARING  | G CORP.  | Approval Date: 12/7/2012   |
| One Bryant Park, 6th   | Fl.  |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| New York N   | Y 10036  | Tele #: (646) 743-1295   | Classification: MEMBER FIRM  |
| MERRILL LYNCH, PI  | ERCE, FENNER & SMITH   | INCORPORAT   | Approval Date: 12/7/2012   |
| One Bryant Park  |  |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| New York N   | Y 10036  | Tele #: (212) 449-1000   | Classification: MEMBER FIRM  |
| MORGAN STANLEY   | & CO. LLC  |  | Approval Date: 12/7/2012   |
| 1585 Broadway  |  |  | Membership Type: ALL MEMBERSHIPS   |
| New York N   | Y 10036  | Tele #: (212) 761-4000   | Classification: MEMBER FIRM  |
| PERSHING LLC   |  |  | Approval Date: 3/12/2013   |
| 1 Pershing Plaza, 10t  | h Fl.  |  | Membership Type: EEM: ORD FLOW/CLEAR   |
| Jersey City N  |  | Tele #: (201) 413-2000   | Classification: MEMBER FIRM  |
| SET TRADING PARTI  |  | a Section Control of   | Approval Date: 9/20/2013   |
| 230 So. LaSalle St., S   |  |  | Membership Type: EEM: ORDER FLOW   |
| Chicago II   |  | Tele #: (312) 360-2440   | Classification: MEMBER FIRM  |
| SOUTHWEST SECUR  |  | TO THE PROPERTY OF THE PROPERT | Approval Date: 2/8/2013  |
| 1201 Elm Street, Ste.  |  |  | Membership Type: EEM: CLEARANCE  |
| Dallas T   |  | Tele #: (214) 859-1800   | Classification: MEMBER FIRM  |
|  | .2 10210   | 1010 11. (214) 009-1000  | Classification, MEMBER Filter  |

# Member Firm:

| SUSQUEHANNA SECURITII        | ES             | e te combination of the combinat | Approval Date:  | 12/7/2012   |
|------------------------------|----------------|--|---|---|
| 401 City Avenue, Ste. 220    |                |  | Membership Type:  | PLMM  |
| Bala Cynwyd PA 19            | 9004 1         | ele #: (610) 617-2600  | Classification:   | MEMBER FIRM   |
| TIMBER HILL LLC              |                |  | Approval Date:  | 12/7/2012   |
| One Pickwick Plaza, Ste. 20  | 0              |  | Membership Type:  | PL/L/RMM/EEM: CLEAR                                     |
| Greenwich CT 06              | 6830 T         | ele #: (203) 618-5800  | Classification:   | MEMBER FIRM   |
| UBS SECURITIES LLC           |                |  | Approval Date:  | 12/7/2012   |
| 677 Washington Boulevard     |                |  | Membership Type:  | EEM: ORD FLOW/CLEAR                                     |
| Stamford CT 06               | 6901 T         | ele #: (203) 719-3000  | Classification:   | MEMBER FIRM   |
| VOLANT LIQUIDITY, LLC        |                |  | Approval Date:  | 5/31/2013   |
| 7 World Trade Center, Ste. 3 | 3301           |  | Membership Type:  | EEM: ORDER FLOW   |
| New York NY 10               | 000 <b>7</b> T | ele #: (646) 484-3000  | Classification:   | MEMBER FIRM   |
| WEDBUSH SECURITIES INC       | С.             |  | Approval Date:  | 12/7/2012   |
| 1000 Wilshire Boulevard      |                |  | Membership Type:  | EEM: CLEARANCE  |
| Los Angeles CA 90            | 0017 T         | ele #: (213) 688-8090  | Classification:   | MEMBER FIRM   |
| WELLS FARGO SECURITIE        | ES, LLC        |  | Approval Date:  | 4/11/2014   |
| 550 South Tryon Street, 6th  | Floor          |  | Membership Type:  | EEM: ORD FLOW/CLEAR                                     |
| Charlotte NC 28              | 8202 T         | Cele #: (704) 715-6133   | Classification:   | MEMBER FIRM   |
| WOLVERINE EXECUTION S        | SERVICES, LLC  |  | Approval Date:  | 12/7/2012   |
| 175 W. Jackson Blvd., Ste. 2 | 200            |  | Membership Type:  | EEM: ORD FLOW/CLEAR                                     |
| Chicago IL 60                | 0604 T         | ele #: (312) 884-4000  | Classification:   | MEMBER FIRM   |
| WOLVERINE TRADING, LL        | ·C             |  | Approval Date:  | 12/7/2012   |
| 175 W. Jackson Blvd., Ste. 2 | 200            |  | Membership Type:  | PL/LMM  |
| Chicago IL 60                | 0604 T         | 'ele #: (312) 884-3490   | and the second particular and the management of | MEMBER FIRM   |
|                              |                |  |   | y - Market Maker:<br>ary Lead; L = Lead;<br>R = Regular |



SEC Mail Processing Section

OCT 297014

Washington DC 404

MIAMI INTERNATIONAL SECURITIES EXCHANGE, LLC
7 ROSZEL ROAD, SUITE 5-A
PRINCETON, NJ 08540

To:

Chris Grobbel
Division of Trading and Markets
Office of Market Supervision
U.S. Securities and Exchange Commission
100 F. Street, N.E.
Washington, D.C. 20549