

COPY

Form 1 Page 1 Execution Page	<b>UNITED STATES SECURITIES AND EXCHANGE COMMISSION</b> <b>WASHINGTON, D.C. 20549</b> <b>APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR,</b> <b>REGISTRATION AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION</b> <b>FROM REGISTRATION PURSUANT TO SECTION 5 OF THE EXCHANGE ACT</b>	Date filed (MM/DD/YY): 4/14/15	OFFICIAL USE ONLY
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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
  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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RECEIVED  
 APR 14 2015  
 SECURITIES AND EXCHANGE COMMISSION

**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: April 14, 2015

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

Subscribed and sworn before me this 14<sup>th</sup> day of April, 2015.

Jane Sciarra  
Jane Sciarra  
Notary Public of the State of New Jersey  
My Commission Expires October 27, 2019

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 April 14, 2015, including the information set forth in items 1-6 above.



## MEMBER FIRMS

Total Firm 41

As of 14-Apr-15

Member Firm:

<b>ABN AMRO CLEARING CHICAGO LLC</b> 175 West Jackson Blvd., Ste. 400 Chicago IL 60604 Tele #: (312) 604-8000	Approval Date: 3/7/2013 Membership Type: EEM: CLEARANCE
<b>AUTOMATED TRADING DESK FINANCIAL SERVICES, LLC</b> 11 Ewall Street Mt. Pleasant SC 29464 Tele #: (843) 789-2080	Approval Date: 12/7/2012 Membership Type: EEM: ORD FLOW/CLEAR
<b>BARCLAYS CAPITAL INC.</b> 745 Seventh Avenue New York NY 10019 Tele #: (212) 526-7000	Approval Date: 12/7/2012 Membership Type: ALL MEMBERSHIPS
<b>BMO CAPITAL MARKETS CORP.</b> 3 Times Square, 27th Floor New York NY 10036 Tele #: (212) 885-4000	Approval Date: 10/10/2014 Membership Type: EEM: ORD FLOW/CLEAR
<b>BNP PARIBAS SECURITIES CORP.</b> 787 Seventh Avenue New York NY 10019 Tele #: (212) 841-2000	Approval Date: 4/21/2014 Membership Type: EEM: ORD FLOW/CLEAR
<b>CITADEL SECURITIES LLC</b> 131 South Dearborn Street Chicago IL 60603 Tele #: (312) 395-2100	Approval Date: 12/7/2012 Membership Type: PL/EEM: ORD FLOW
<b>COMPASS PROFESSIONAL SERVICES, LLC</b> 111 W. Jackson Blvd., 20th Fl. Chicago IL 60604 Tele #: (312) 692-5000	Approval Date: 12/7/2012 Membership Type: EEM: ORD FLOW/CLEAR
<b>CONVERGEX EXECUTION SOLUTIONS LLC</b> 1633 Broadway - 48th Floor New York NY 10019 Tele #: (212) 486-7500	Approval Date: 12/1/2014 Membership Type: EEM: ORD FLOW/CLEAR
<b>CREDIT SUISSE SECURITIES (USA) LLC</b> 11 Madison Avenue, 3rd Fl. New York NY 10010 Tele #: (212) 325-2000	Approval Date: 12/7/2012 Membership Type: EEM: ORD FLOW/CLEAR
<b>DASH FINANCIAL LLC</b> 910 Van Buren Street, 4th Fl. Chicago IL 60607 Tele #: (847) 550-1730	Approval Date: 12/7/2012 Membership Type: EEM: ORD FLOW/CLEAR
<b>DEUTSCHE BANK SECURITIES INC.</b> 60 Wall Street New York NY 10005 Tele #: (212) 250-2500	Approval Date: 1/25/2013 Membership Type: EEM: ORD FLOW/CLEAR
<b>GLOBAL EXECUTION BROKERS, LP</b> 401 City Avenue, Ste. 200 Bala Cynwyd PA 19004 Tele #: (610) 617-2600	Approval Date: 12/7/2012 Membership Type: EEM: ORDER FLOW
<b>GOLDMAN SACHS EXECUTION &amp; CLEARING, L.P.</b> 200 West Street New York NY 10282 Tele #: (212) 902-1000	Approval Date: 12/7/2012 Membership Type: EEM: CLEARANCE
<b>GOLDMAN, SACHS &amp; CO.</b> 200 West Street New York NY 10282 Tele #: (212) 902-1000	Approval Date: 1/15/2013 Membership Type: ALL MEMBERSHIPS

**Member Firm:****GROUP ONE TRADING LP**

440 South La Salle - Ste. 3232  
Chicago IL 60605 Tele #: (312) 347-8864

Approval Date: 10/20/2014  
Membership Type: PL/L/RMM/EEM: ORD FLOW

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

233 South Wacker Drive, #4300  
Chicago IL 60606 Tele #: (312) 244-3300

Approval Date: 8/26/2014  
Membership Type: RMM

**INSTINET, LLC**

1095 Avenue of the Americas  
New York NY 10036 Tele #: (212) 310-9500

Approval Date: 3/27/2013  
Membership Type: EEM: ORD FLOW/CLEAR

**INTERACTIVE BROKERS LLC**

One Pickwick Plaza, 2nd Fl.  
Greenwich CT 06830 Tele #: (203) 618-5710

Approval Date: 12/7/2012  
Membership Type: EEM: ORD FLOW/CLEAR

**ITG DERIVATIVES LLC**

601 S. LaSalle, Ste. 300  
Chicago IL 60606 Tele #: (312) 935-0125

Approval Date: 12/7/2012  
Membership Type: EEM: ORDER FLOW

**J.P. MORGAN CLEARING CORP.**

3 Chase Metrotech Center  
Brooklyn NY 11245 Tele #: (347) 643-1000

Approval Date: 12/7/2012  
Membership Type: EEM: CLEARANCE

**J.P. MORGAN SECURITIES LLC**

383 Madison Avenue  
New York NY 10179 Tele #: (201) 595-8471

Approval Date: 12/7/2012  
Membership Type: EEM: ORDER FLOW

**JEFFERIES LLC**

520 Madison Avenue  
New York NY 10022 Tele #: (212) 284-2300

Approval Date: 9/15/2014  
Membership Type: EEM: ORD FLOW/CLEAR

**KCG AMERICAS LLC**

545 Washington Boulevard  
Jersey City NJ 07310 Tele #: (201) 386-2891

Approval Date: 12/7/2012  
Membership Type: ALL MEMBERSHIPS

**LEK SECURITIES CORPORATION**

1 Liberty Plaza, 165 Broadway, 52nd Fl  
New York NY 10006 Tele #: (212) 509-2300

Approval Date: 6/5/2014  
Membership Type: EEM: ORD FLOW/CLEAR

**LIME BROKERAGE LLC**

625 Broadway, 12th Fl.  
New York NY 10012 Tele #: (212) 824-5000

Approval Date: 12/7/2012  
Membership Type: EEM: ORDER FLOW

**MERRILL LYNCH PROFESSIONAL CLEARING CORP.**

One Bryant Park, 6th Fl.  
New York NY 10036 Tele #: (646) 743-1295

Approval Date: 12/7/2012  
Membership Type: EEM: ORD FLOW/CLEAR

**MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORAT**

One Bryant Park  
New York NY 10036 Tele #: (212) 449-1000

Approval Date: 12/7/2012  
Membership Type: EEM: ORD FLOW/CLEAR

**MORGAN STANLEY & CO. LLC**

1585 Broadway  
New York NY 10036 Tele #: (212) 761-4000

Approval Date: 12/7/2012  
Membership Type: ALL MEMBERSHIPS

**OPTIVER US LLC**

130 E. Randolph Street, Ste. 1300  
Chicago IL 60601 Tele #: (312) 821-9500

Approval Date: 1/27/2015  
Membership Type: RMM

**PERSHING LLC**

1 Pershing Plaza, 10th Fl.  
Jersey City NJ 07399 Tele #: (201) 413-2000

Approval Date: 3/12/2013  
Membership Type: EEM: ORD FLOW/CLEAR

**QUANTLAB SECURITIES, LP**

4200 Montrose Blvd., Ste. 200  
Houston TX 77006 Tele #: (713) 333-3700

Approval Date: 4/7/2015  
Membership Type: EEM: ORDER FLOW

**Member Firm:**

**SIMPLEX TRADING, LLC**

230 So. LaSalle St., Ste. 4-100  
Chicago IL 60604

Tele #: (312) 360-2440

Approval Date: 9/20/2013  
Membership Type: EEM: ORDER FLOW

**SOUTHWEST SECURITIES, INC.**

1201 Elm Street, Ste. 3500  
Dallas TX 75270

Tele #: (214) 859-1800

Approval Date: 2/8/2013  
Membership Type: EEM: CLEARANCE

**SUSQUEHANNA SECURITIES**

401 City Avenue, Ste. 220  
Bala Cynwyd PA 19004

Tele #: (610) 617-2600

Approval Date: 12/7/2012  
Membership Type: PLMM

**TIMBER HILL LLC**

One Pickwick Plaza, Ste. 200  
Greenwich CT 06830

Tele #: (203) 618-5800

Approval Date: 12/7/2012  
Membership Type: PL/L/RMM/EEM: CLEAR

**UBS SECURITIES LLC**

677 Washington Boulevard  
Stamford CT 06901

Tele #: (203) 719-3000

Approval Date: 12/7/2012  
Membership Type: EEM: ORD FLOW/CLEAR

**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

**WEDBUSH SECURITIES INC.**

1000 Wilshire Boulevard  
Los Angeles CA 90017

Tele #: (213) 688-8090

Approval Date: 12/7/2012  
Membership Type: EEM: CLEARANCE

**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

**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

**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

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