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| Form 1 Page 1 Execution Page | U.S. SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549 | Date filed (MM/DD/YY) 05/11/15 | OFFICIAL USE ONLY |
| 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 | | | |

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 to comply with the provisions of law applying to the conduct of 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



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APPLICATION AMENDMENT

- State the name of the applicant: EDGA Exchange, Inc.
- Provide the applicant's primary street address (Do not use a P.O. Box):
8050 Marshall Dr., Suite 120
Lenexa, Kansas 66214
- Provide the applicant's mailing address (if different):

- Provide the business telephone and facsimile number:
(913) 815-7000 (Telephone) (913) 815-7119 (Facsimile)
- Provide the name, title and telephone number of a contact employee:
Eric Swanson General Counsel, BATS Exchange, Inc. (212) 378-8523
(Name) (Title) (Telephone Number)
- Provide the name and address of counsel for the applicant:
Eric Swanson
17 State Street, 32nd Floor
New York, NY 10004
- Provide the date that applicant's fiscal year ends: December 31
- Indicate legal status of the applicant: Corporation Sole Partnership Partnership
 Limited Liability Company Other (specify): _____

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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): 11/01/07 (b) State/Country of formation: Delaware/United States of America
(c) Statute under which applicant was organized: General Corporation Law of the State of Delaware

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 statement 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.

Date: 05/11/15 (MM/DD/YY) EDGA Exchange, Inc. (Name of Applicant)
 By: [Signature] Anders Franzon, VP, Associate General Counsel (Printed Name and Title)
 Subscribed and sworn before me this 11th day of May, 2015 by Teresa Laffoon (Notary Public)
 My Commission expires 03/27/2016 County of Johnson State of Kansas

This page must always be completed in full with original, manual signature and notarization.

Affix notary stamp or seal where applicable.

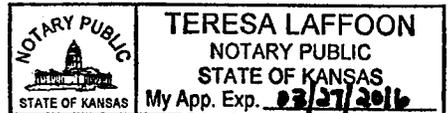


Exhibit C

Exhibit Request:

For each subsidiary or affiliate of the applicant, and for any entity with whom the applicant has a contractual or other agreement relating to the operation of an electronic trading system to be used to effect transactions on the exchange (“System”), provide the following information:

1. Name and address of organization.
2. Form of organization (e.g., association, corporation, partnership, etc.).
3. Name of state and statute citation under which organized. Date of incorporation in present form.
4. Brief description of nature and extent of affiliation.
5. Brief description of business or functions. Description should include responsibilities with respect to operation of the System and/or execution, reporting, clearance, or settlement of transactions in connection with operation of the System.
6. A copy of the constitution.
7. A copy of the articles of incorporation or association including all amendments.
8. A copy of existing by-laws or corresponding rules or instruments.
9. The name and title of the present officers, governors, members of all standing committees or persons performing similar functions.
10. An indication of whether such business or organization ceased to be associated with the applicant during the previous year, and a brief statement of the reasons for termination of the association.

Response: Please see below responses for the following entities:

A. BATS Global Markets, Inc.

1. *Name:* BATS Global Markets, Inc.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on August 22, 2013.
4. *Brief description of nature and extent of affiliation:* BATS Global Markets, Inc. owns 100% of the outstanding common stock of BATS Global Markets Holdings, Inc., which is the Exchange's 100% owner.
5. *Brief description of business or functions:* BATS Global Markets, Inc. is the ultimate parent company through which the ultimate owners of the Exchange indirectly hold their ownership interest in the Exchange and its affiliates.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Joe Ratterman
- Chris Concannon
- David Cummings
- Michael Richter
- Alan Freudenstein
- John McCarthy
- John Comerford
- Daniel Keegan
- Bina Kalola
- Robert Jones
- Brett Redfearn
- Christopher Mitchell
- Jamil Nazarali
- Darren Cohen
- Brian Fagen

Current Officers

- Chris Concannon (President, CEO)

- Chris Isaacson (Executive Vice President, Global Chief Information Officer)
- Bryan Harkins (Executive Vice President, Head of U.S. Markets)
- Eric Swanson (Executive Vice President, General Counsel, Secretary)
- Mark Hemsley (Executive Vice President, Chief Executive Officer of BATS Europe)
- Brian N. Schell (Executive Vice President, Chief Financial Officer, Treasurer)
- Tami Schademann (Executive Vice President, Chief Compliance Officer)

Compensation Committee

- Rob Jones
- Michael Richter
- Chris Mitchell

Audit Committee

- Michael Richter
- John Comerford
- Alan Freudenstein

Nominating and Corporate Governance Committee

- John McCarthy
- David Cummings
- Alan Freudenstein

Technology Advisory Committee

- John Comerford
- Daniel Keegan
- John McCarthy

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

B. BATS Global Markets Holdings, Inc.

1. *Name:* BATS Global Markets Holdings, Inc.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on June 29, 2007.
4. *Brief description of nature and extent of affiliation:* BATS Global Markets Holdings, Inc. is the Exchange's 100% owner.
5. *Brief description of business or functions:* BATS Global Markets Holdings, Inc. is an intermediate holding company.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Chris Concannon

Current Officers

- Chris Concannon (President, CEO)
- Tami Schademann (Executive Vice President)
- Bryan Harkins (Executive Vice President, Head of U.S. Markets)
- Eric Swanson (Secretary)
- Brian N. Schell (Treasurer)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

C. Direct Edge Holdings LLC

1. *Name:* Direct Edge Holdings LLC
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:* Formed in Delaware under Section 201 of the Limited Liability Company Act of the State of Delaware on June 5, 2007.
4. *Brief description of nature and extent of affiliation:* BATS Global Markets, Inc., the Exchange's ultimate parent, owns 100% of the outstanding membership interests of Direct Edge Holdings LLC.
5. *Brief description of business or functions:* Direct Edge Holdings LLC is an intermediate holding company.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws or corresponding rules or instruments:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- None

Current Officers

- Chris Concannon (President, CEO)
 - Eric Swanson (General Counsel, Secretary)
 - Brian N. Schell (Chief Financial Officer, Treasurer)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

D. Direct Edge LLC

1. *Name:* Direct Edge LLC (f/k/a Direct Edge, Inc.)
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:* Formed in Delaware under Section 201 of the Limited Liability Company Act of the State of Delaware on December 31, 2014. Was converted from Direct Edge, Inc., a Delaware corporation, on December 31, 2014.
4. *Brief description of nature and extent of affiliation:* Direct Edge Holdings LLC owns 100% of the membership interests of Direct Edge LLC.
5. *Brief description of business or functions:* Direct Edge LLC is an intermediate holding company. Direct Edge LLC is the sole shareholder of EDGA Exchange, Inc. and EDGX Exchange, Inc.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws or corresponding rules or instruments:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- None

Current Officers

- Chris Concannon (President, CEO)
 - Eric Swanson (Secretary)
 - Brian N. Schell (Chief Financial Officer)
 - Chris Isaacson (Chief Information Officer)
 - Bryan Harkins (Executive Vice President, Head of U.S. Markets)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

E. BATS Exchange, Inc.

1. *Name:* BATS Exchange, Inc.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on November 1, 2007.
4. *Brief description of nature and extent of affiliation:* BATS Exchange, Inc. is wholly-owned by BATS Global Markets Holdings, Inc., which is also the Exchange's 100% owner.
5. *Brief description of business or functions:* BATS Exchange, Inc. operates as a registered national securities exchange pursuant to Section 6 of the Act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Chris Concannon
- James Selway
- Chris Isaacson
- Brett Redfearn
- Peter Wallison
- David Roscoe
- Harry Temkin
- Sandy Kemper
- Scott Wagner
- Jill Sommers
- Adam Nunes
- Matt Billings

Current Officers

- Chris Concannon (President, CEO)
- Chris Isaacson (Executive Vice President, Global Chief Information Officer)
- Bryan Harkins (Executive Vice President, Head of U.S. Markets)
- Tami Schademann (Executive Vice President, Chief Regulatory Officer)

- Eric Swanson (Executive Vice President, General Counsel, Secretary)
- Brian N. Schell (Executive Vice President, Chief Financial Officer, Treasurer)
- Charles Randy Williams (Senior Vice President, Global Investor Relations & Communications)
- Tony Barchetto (Senior Vice President, Business Development)
- Jeromee Johnson (Vice President, Options Market Development)
- Anders Franzon (Vice President, Associate General Counsel)
- Joe Bracco (Senior Vice President, Head of Institutional and Strategic Relations)
- Bryan Christian (Senior Vice President, Head of U.S. Sales)
- Troy Yeazel (Vice President, Operations)
- Jeff Connell (Vice President, Market Oversight)
- Derick Shupe (Vice President, Controller)
- Greg Steinberg (Vice President, Assistant Secretary and Associate General Counsel)
- Aaron Weissenfluh (Vice President, Chief Information Security Officer)
- Eric Crampton (Vice President, Global Head of Software Engineering)
- Rodney Burt (Vice President, Infrastructure)
- Kevin Carrai (Vice President, Connectivity & Member Services)
- Stacie Fleming (Vice President, Communications)

Standing Committees

Compensation Committee

- Peter Wallison
- Sandy Kemper
- Harry Temkin

Audit Committee

- Jill Sommers
- David Roscoe
- Matt Billings

Regulatory Oversight Committee

- Scott Wagner
- Sandy Kemper
- Peter Wallison

Appeals Committee

- Brett Redfearn
- James Selway
- Scott Wagner

Executive Committee

- Chris Concannon

EDGA Exchange, Inc. Form 1 Registration Statement: Exhibit C

- Sandy Kemper
- David Roscoe
- Harry Temkin
- James Selway
- Adam Nunes

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

F. BATS Y-Exchange, Inc.

1. *Name:* BATS Y-Exchange, Inc.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on July 31, 2009.
4. *Brief description of nature and extent of affiliation:* BATS Y-Exchange, Inc. is wholly-owned by BATS Global Markets Holdings, Inc., which is also the Exchange's 100% owner.
5. *Brief description of business or functions:* BATS Y-Exchange, Inc. operates as a registered national securities exchange pursuant to Section 6 of the Act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Chris Concannon
- James Selway
- Chris Isaacson
- Brett Redfearn
- Peter Wallison
- David Roscoe
- Harry Temkin
- Sandy Kemper
- Scott Wagner
- Jill Sommers
- Adam Nunes
- Matt Billings

Current Officers

- Chris Concannon (President, CEO)
- Chris Isaacson (Executive Vice President, Global Chief Information Officer)
- Bryan Harkins (Executive Vice President, Head of U.S. Markets)
- Tami Schademann (Executive Vice President, Chief Regulatory Officer)
- Eric Swanson (Executive Vice President, General Counsel, Secretary)

- Brian N. Schell (Executive Vice President, Chief Financial Officer, Treasurer)
- Charles Randy Williams (Senior Vice President, Global Investor Relations & Communications)
- Tony Barchetto (Senior Vice President, Business Development)
- Jeromee Johnson (Vice President, Options Market Development)
- Anders Franzon (Vice President, Associate General Counsel)
- Joe Bracco (Senior Vice President, Head of Institutional and Strategic Relations)
- Bryan Christian (Senior Vice President, Head of U.S. Sales)
- Troy Yeazel (Vice President, Operations)
- Jeff Connell (Vice President, Market Oversight)
- Derick Shupe (Vice President, Controller)
- Greg Steinberg (Vice President, Assistant Secretary and Associate General Counsel)
- Aaron Weissenfluh (Vice President, Chief Information Security Officer)
- Eric Crampton (Vice President, Global Head of Software Engineering)
- Rodney Burt (Vice President, Infrastructure)
- Kevin Carrai (Vice President, Connectivity & Member Services)
- Stacie Fleming (Vice President, Communications)

Standing Committees

Compensation Committee

- Peter Wallison
- Sandy Kemper
- Harry Temkin

Audit Committee

- Jill Sommers
- David Roscoe
- Matt Billings

Regulatory Oversight Committee

- Scott Wagner
- Sandy Kemper
- Peter Wallison

Appeals Committee

- Brett Redfearn
- James Selway
- Scott Wagner

Executive Committee

- Chris Concannon
- Sandy Kemper

EDGA Exchange, Inc. Form 1 Registration Statement: Exhibit C

- David Roscoe
- Harry Temkin
- James Selway
- Adam Nunes

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

G. EDGX Exchange, Inc.

1. *Name:* EDGX Exchange, Inc.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:* Formed in Delaware under the General Corporation Law of the State of Delaware on March 9, 2009.
4. *Brief description of nature and extent of affiliation:* EDGX Exchange, Inc. is an indirect wholly-owned subsidiary of BATS Global Markets, Inc., the Exchange's ultimate parent.
5. *Brief description of business or functions:* EDGX Exchange, Inc. operates a registered national securities exchange pursuant to Section 6 of the Act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Chris Concannon
- James Selway
- Chris Isaacson
- Brett Redfearn
- Peter Wallison
- David Roscoe
- Harry Temkin
- Sandy Kemper
- Scott Wagner
- Jill Sommers
- Adam Nunes
- Matt Billings

Current Officers

- Chris Concannon (President, CEO)
- Chris Isaacson (Executive Vice President, Global Chief Information Officer)
- Bryan Harkins (Executive Vice President, Head of U.S. Markets)
- Tami Schademann (Executive Vice President, Chief Regulatory Officer)
- Eric Swanson (Executive Vice President, General Counsel, Secretary)

- Brian N. Schell (Executive Vice President, Chief Financial Officer, Treasurer)
- Charles Randy Williams (Senior Vice President, Global Investor Relations & Communications)
- Tony Barchetto (Senior Vice President, Business Development)
- Jeromee Johnson (Vice President, Options Market Development)
- Anders Franzon (Vice President, Associate General Counsel)
- Joe Bracco (Senior Vice President, Head of Institutional and Strategic Relations)
- Bryan Christian (Senior Vice President, Head of U.S. Sales)
- Troy Yeazel (Vice President, Operations)
- Jeff Connell (Vice President, Market Oversight)
- Derick Shupe (Vice President, Controller)
- Greg Steinberg (Vice President, Assistant Secretary and Associate General Counsel)
- Aaron Weissenfluh (Vice President, Chief Information Security Officer)
- Eric Crampton (Vice President, Global Head of Software Engineering)
- Rodney Burt (Vice President, Infrastructure)
- Kevin Carrai (Vice President, Connectivity & Member Services)
- Stacie Fleming (Vice President, Communications)

Standing Committees

Compensation Committee

- Peter Wallison
- Sandy Kemper
- Harry Temkin

Audit Committee

- Jill Sommers
- David Roscoe
- Matt Billings

Regulatory Oversight Committee

- Scott Wagner
- Sandy Kemper
- Peter Wallison

Appeals Committee

- Brett Redfearn
- James Selway
- Scott Wagner

Executive Committee

- Chris Concannon
- Sandy Kemper

EDGA Exchange, Inc. Form 1 Registration Statement: Exhibit C

- David Roscoe
- Harry Temkin
- James Selway
- Adam Nunes

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

H. BATS Trading, Inc.

1. *Name:* BATS Trading, Inc.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on June 16, 2005.
4. *Brief description of nature and extent of affiliation:* BATS Trading, Inc. is wholly-owned by BATS Global Markets Holdings, Inc., which is also the Exchange's 100% owner.
5. *Brief description of business or functions:* BATS Trading, Inc. is a broker-dealer registered as such with the Securities and Exchange Commission and a member of the Financial Industry Regulatory Authority and other self-regulatory organizations. BATS Trading, Inc. provides routing of orders from the Exchange BATS Y-Exchange, Inc., EDGA Exchange, Inc. and EDGX Exchange, Inc. to other securities exchanges, facilities of securities exchanges, automated trading systems, electronic communication networks or other broker-dealers.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors
 - Chris Isaacson
 - Tami Schademann
 - Chris Concannon
Current Officers
 - Chris Isaacson (President)
 - Tami Schademann (Secretary)
 - Bryan Upp (Chief Compliance Officer)
 - Brian N. Schell (Chief, Financial Officer, FINOP, Treasurer)
 - Jeromee Johnson (VP, Options)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

I. Direct Edge ECN LLC (d/b/a DE Route)

1. *Name:* Direct Edge ECN LLC (d/b/a DE Route)
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:* Formed in Delaware under Section 201 of the Limited Liability Company Act of the State of Delaware on April 19, 2005.
4. *Brief description of nature and extent of affiliation:* DE Route is an indirect wholly-owned subsidiary of BATS Global Markets, Inc., the Exchange's ultimate parent.
5. *Brief description of business or functions:* DE Route's withdrawal of its registration as a broker-dealer was approved on May 5, 2015 by the Securities and Exchange Commission and Financial Industry Regulatory Authority. DE Route currently has no active operations.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws or corresponding rules or instruments:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*
Current Officers
 - Brian N. Schell (Chief Financial Officer/FinOp/Treasurer)
 - Neil Meislick (Chief Compliance Officer)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

J. Omicron Holdings Corp.

1. *Name:* Omicron Holdings Corp.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on February 7, 2011.
4. *Brief description of nature and extent of affiliation:* BATS Global Markets Holdings, Inc., which is also the Exchange's 100% owner, owns 100% of the common stock of Omicron Holdings Corp.
5. *Brief description of business or functions:* Omicron Holdings Corp. is a Delaware corporation established to hold Omicron Acquisitions Corp. and Omicron Intermediate Holdings Corp. potential future operating entities.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors
 - Chris Concannon
 - Mark Hemsley
Current Officers
 - Mark Hemsley (President and Treasurer)
 - Eric Swanson (Vice President, Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

K. Omicron Intermediate Holdings Corp.

1. *Name:* Omicron Intermediate Holdings Corp.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on February 7, 2011.
4. *Brief description of nature and extent of affiliation:* Omicron Intermediate Holdings Corp. is wholly-owned by BATS Global Markets Holdings, Inc., which is also the Exchange's 100% owner.
5. *Brief description of business or functions:* Omicron Intermediate Holdings Corp. is a Delaware corporation established to acquire and potentially operate the assets of existing operating companies.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors
 - Chris Concannon
 - Mark Hemsley
Current Officers
 - Mark Hemsley (President and Treasurer)
 - Eric Swanson (Vice President, Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

L. **Omicron Acquisition Corp.**

1. *Name:* Omicron Acquisition Corp.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on February 7, 2011.
4. *Brief description of nature and extent of affiliation:* Omicron Acquisition Corp. is wholly-owned by Omicron Holdings Corp., which is an affiliate of the Exchange.
5. *Brief description of business or functions:* Omicron Acquisition Corp. is a Delaware corporation established to acquire and potentially operate the assets of existing operating companies.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors
 - Chris Concannon
 - Mark Hemsley
Current Officers
 - Mark Hemsley (President and Treasurer)
 - Eric Swanson (Vice President, Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

M. BATS Hotspot Holdings LLC

1. *Name:* BATS Hotspot Holdings LLC (f/k/a Hotspot FX Holdings, LLC)
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Formed in Delaware under Section 201 of the Limited Liability Company Act of the State of Delaware on May 15, 2000. Name was amended from Hotspot FX Holdings, LLC, a Delaware LLC, on March 11, 2015.
4. *Brief description of nature and extent of affiliation:* BATS Hotspot Holdings LLC is wholly-owned by BATS Global Markets Holdings, Inc., which is an affiliate of the Exchange.
5. *Brief description of business or functions:* BATS Hotspot Holdings LLC is an intermediate holding company of BATS Hotspot LLC and BATS Hotspot Services LLC.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- None

Current Officers

- Chris Concannon (President)
- William Goodbody, Jr. (SVP, Head of FX)
- Brian N. Schell (Treasurer)
- Eric Swanson (Secretary)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

N. BATS Hotspot LLC

1. *Name:* BATS Hotspot LLC (f/k/a KCG Hotspot FX LLC)
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Formed in New Jersey under Section 42 of the Limited Liability Company Act of the State of New Jersey on August 7, 2001. Name was amended from KCG Hotspot FX LLC, a Delaware LLC, on March 12, 2015.
4. *Brief description of nature and extent of affiliation:* BATS Hotspot LLC is wholly-owned by BATS Hotspot Holdings LLC, which is wholly-owned by BATS Global Markets Holdings, Inc., which is an affiliate of the Exchange.
5. *Brief description of business or functions:* BATS Hotspot LLC operates an institutional spot foreign exchange market.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- None

Current Officers

- Chris Concannon (President)
 - William Goodbody, Jr. (SVP, Head of FX)
 - Brian N. Schell (Treasurer)
 - Eric Swanson (Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

O. BATS Hotspot Services LLC

1. *Name:* BATS Hotspot Services LLC (f/k/a Hotspot FXr, L.L.C.)
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Formed in New Jersey under Section 42 of the Limited Liability Company Act of the State of New Jersey on November 22, 2004. Name was amended from KCG Hotspot FX LLC, a Delaware LLC, on March 12, 2015.
4. *Brief description of nature and extent of affiliation:* BATS Hotspot Services LLC is wholly-owned by BATS Hotspot Holdings LLC, which is wholly-owned by BATS Global Markets Holdings, Inc., which is an affiliate of the Exchange.
5. *Brief description of business or functions:* BATS Hotspot Services LLC operates an institutional spot foreign exchange market.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- None

Current Officers

- Chris Concannon (President)
- William Goodbody, Jr. (SVP, Head of FX)
- Brian N. Schell (Treasurer)
- Eric Swanson (Secretary)

10. Indication of whether such business or organization ceased to be associated with the applicant during previous year: Not applicable.

P. BATS Hotspot SEF LLC

1. *Name:* BATS Hotspot SEF LLC
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Formed in Delaware under Section 201 of the Limited Liability Company Act of the State of Delaware on May 1, 2015.
4. *Brief description of nature and extent of affiliation:* BATS Hotspot SEF LLC is wholly-owned by BATS Hotspot Holdings LLC, which is wholly-owned by BATS Global Markets Holdings, Inc., which is an affiliate of the Exchange.
5. *Brief description of business or functions:* BATS Hotspot SEF LLC currently has no operations, but anticipates registering with the CFTC as a swap execution facility. .
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Pending.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors
None

Current Officers
None
10. Indication of whether such business or organization ceased to be associated with the applicant during previous year: Not applicable.

Q. BATS International Holdings Limited

1. *Name:* BATS International Holdings Limited
Address: 10 Lower Thames Street, 6th Floor, London, UK EC3R 6AF
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in England and Wales under the Companies Act 1985 on February 5, 2015.
4. *Brief description of nature and extent of affiliation:* BATS International Holdings Limited is wholly-owned by Omicron Acquisition Corp. which is an affiliate of the Exchange.
5. *Brief description of business or functions:* BATS International Holdings Limited is a holding company of BATS Hotspot Europe Limited and BATS Hotspot Asia Pte. Ltd.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors
 - Mark Hemsley
 - Chris Concannon
Current Officers
 - Antonio Amelia (Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

R. BATS Hotspot Europe Limited

1. *Name:* BATS Hotspot Europe Limited
Address: 10 Lower Thames Street, 6th Floor, London, UK EC3R 6AF
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in England and Wales under the Companies Act 1985 on February 5, 2015.
4. *Brief description of nature and extent of affiliation:* BATS Hotspot Europe Limited is wholly-owned by BATS International Holdings Limited which is wholly-owned by Omicron Acquisition Corp. which is an affiliate of the Exchange.
5. *Brief description of business or functions:* BATS Hotspot Europe Limited operates an institutional spot foreign exchange market.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors
 - Mark Hemsley
 - Chris Concannon
Current Officers
 - Antonio Amelia (Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

S. **BATS Hotspot Asia Pte. Ltd.**

1. *Name:* BATS Hotspot Asia Pte. Ltd.
Address: 1 Marina Boulevard, #28-00, One Marina Boulevard, Singapore (018989)
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Singapore under the Companies Act (Cap. 50) on February 23, 2015.
4. *Brief description of nature and extent of affiliation:* BATS Hotspot Asia Pte. Ltd. is wholly-owned by BATS International Holdings Limited which is wholly-owned by Omicron Acquisition Corp. which is an affiliate of the Exchange.
5. *Brief description of business or functions:* BATS Hotspot Asia Pte. Ltd. operates an institutional spot foreign exchange market.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors
 - Chris Concannon
 - Ng Lip Chih
Current Officers
 - Chew Pei Tsing (Secretary)
 - Lai Jek Ping (Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

T. BATS Trading Limited

1. *Name:* BATS Trading Limited
Address: 10 Lower Thames Street, 6th Floor, London, UK EC3R 6AF
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in England and Wales under the Companies Act 1985 on March 28, 2008.
4. *Brief description of nature and extent of affiliation:* BATS Trading Limited is wholly-owned by Omicron Acquisition Corp. which is an affiliate of the Exchange.
5. *Brief description of business or functions:* BATS Trading Limited is recognized as a Recognised Investment Exchange in the United Kingdom under the Financial Services and Markets Act 2000 (“FSMA”). It operates a platform for trading of European equity securities.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Mark Hemsley
- Adam Eades
- John Woodman
- Anthony Whalley
- William Eldridge
- Virginie Saade
- Rebecca Fuller
- Paul Hilgers
- Julian Corner

Current Officers

- Mark Hemsley (CEO)
- Antonio Amelia (Secretary)
- Jill Griebenow (CFO)
- Adam Eades (Chief Legal and Regulatory Officer)
- Jerry Avenell (Co-Head Sales)
- Alex Dalley (Co-Head Sales)
- Guy Simpkin (Head of Business Development)

- David Howson (COO)

Standing Committees

Audit, Risk and Compliance Committee

- William Eldridge
- Anthony Whalley
- Rebecca Fuller

Remuneration Committee

- John Woodman
- Anthony Whalley
- Rebecca Fuller

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

U. **Chi-X Europe Limited**

1. *Name:* Chi-X Europe Limited
Address: 10 Lower Thames Street, 6th Floor, London, UK EC3R 6AF
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in England and Wales. It changed its name to Chi-X Europe Limited on July 2, 2007.
4. *Brief description of nature and extent of affiliation:* Chi-X Europe Limited is wholly-owned by BATS Trading Limited which, in turn, is indirectly wholly owned by BATS Global Markets, Inc.
5. *Brief description of business or functions:* Chi-X Europe Limited is authorised in the United Kingdom under the Financial Services and Markets Act 2000 (“FSMA”), as an investment firm. Between April 30, 2012 and May 20, 2013 it was a dormant company. Since May 20, 2013, Chi-X Europe Limited operates the smart order router that is needed for the routing strategies deployed by BATS Trading Limited
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Mark Hemsley
- Adam Eades
- John Woodman

Current Officers

- Mark Hemsley (CEO)
- Antonio Amelia (Secretary)
- Jill Griebenow (CFO)
- Adam Eades (Chief Legal and Regulatory Officer)
- Jerry Avenell (Co-Head Sales)
- Alex Dalley (Co-Head Sales)
- Guy Simpkin (Head of Business Development)
- David Howson (COO)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

V. **BATS FX, Inc.**

1. *Name:* BATS FX, Inc.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on September 17, 2012.
4. *Brief description of nature and extent of affiliation:* BATS FX, Inc. is wholly-owned by BATS Global Markets Holdings, Inc., which is also the Exchange's 100% owner.
5. *Brief description of business or functions:* BATS FX, Inc. was created to operate a global foreign exchange market, but remains dormant at this time.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors
 - Chris Concannon
Current Officers
 - Chris Concannon (President)
 - Eric Swanson (Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

W. Blue Merger Sub Inc.

1. *Name:* Blue Merger Sub Inc.
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on August 22, 2013.
4. *Brief description of nature and extent of affiliation:* As of January 31, 2014, Blue Merger Sub Inc. ceased to exist.
5. *Brief description of business or functions:* Not applicable.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws or corresponding rules or instruments:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:* None.
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* On January 31, 2014, Blue Merger Sub, Inc. was merged with and into BATS Global Markets Holdings, Inc. (f/k/a BATS Global Markets, Inc.), with BATS Global Markets Holdings, Inc. surviving, resulting in Blue Merger Sub, Inc. ceasing to exist.

X. Delta Merger Sub LLC

1. *Name:* Delta Merger Sub LLC
Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:*
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on August 22, 2013.
4. *Brief description of nature and extent of affiliation:* As of January 31, 2014, Delta Merger Sub LLC ceased to exist.
5. *Brief description of business or functions:* Not applicable.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws or corresponding rules or instruments:* See attached.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:* None.
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* On January 31, 2014, Delta Merger Sub LLC was merged with and into Direct Edge Holdings LLC, with Direct Edge Holdings LLC surviving, resulting in Delta Merger Sub LLC ceasing to exist.

Form 1, Exhibit C Index of Attachments

- A BATS GLOBAL MARKETS, INC.
- B BATS GLOBAL MARKETS HOLDINGS, INC.
- C DIRECT EDGE HOLDINGS LLC
- D DIRECT EDGE LLC
- E BATS EXCHANGE, INC.
- F BATS Y-EXCHANGE, INC.
- G EDGX EXCHANGE, INC.
- H BATS TRADING, INC.
- I DIRECT EDGE ECN LLC
- J OMICRON HOLDINGS CORP.
- K OMICRON INTERMEDIATE HOLDINGS CORP.
- L OMICRON ACQUISITION CORP.
- M BATS HOTSPOT HOLDINGS LLC
- N BATS HOTSPOT LLC
- O BATS HOTSPOT SERVICES LLC
- P BATS HOTSPOT SEF LLC-NEW ENTITY (ORGANIZATIONAL DOCUMENTS ATTACHED)
- Q BATS INTERNATIONAL HOLDINGS LIMITED
- R BATS HOTSPOT EUROPE LIMITED
- S BATS HOTSPOT ASIA PTE. LTD.
- T BATS TRADING LIMITED
- U CHI-X EUROPE LIMITED
- V BATS FX, INC.
- W BLUE MERGER SUB INC.
- X DELTA MERGER SUB LLC

A BATS GLOBAL MARKETS, INC.

B BATS GLOBAL MARKETS HOLDINGS, INC.

C DIRECT EDGE HOLDINGS LLC

D DIRECT EDGE LLC

E BATS EXCHANGE, INC.

F BATS Y-EXCHANGE, INC.

G EDGX EXCHANGE, INC.

H BATS TRADING, INC.

I DIRECT EDGE ECN LLC

J OMICRON HOLDINGS CORP.

K OMICRON INTERMEDIATE HOLDINGS CORP.

L OMICRON ACQUISITION CORP.

M BATS HOTSPOT HOLDINGS LLC

N BATS HOTSPOT LLC

O BATS HOTSPOT SERVICES LLC

P BATS HOTSPOT SEF LLC-NEW ENTITY (ORGANIZATIONAL DOCUMENTS ATTACHED)

Delaware

PAGE 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF FORMATION OF "BATS HOTSPOT SEF LLC", FILED IN THIS OFFICE ON THE FIRST DAY OF MAY, A.D. 2015, AT 5:49 O'CLOCK P.M.



5739904 8100

150603124

You may verify this certificate online
at corp.delaware.gov/authver.shtml


Jeffrey W. Bullock, Secretary of State
AUTHENTICATION: 2346935

DATE: 05-05-15

State of Delaware
Secretary of State
Division of Corporations
Delivered 06:21 PM 05/01/2015
FILED 05:49 PM 05/01/2015
SRV 150603124 - 5739904 FILE

STATE OF DELAWARE
LIMITED LIABILITY COMPANY
CERTIFICATE OF FORMATION
OF

BATS HOTSPOT SEF LLC

The undersigned has executed and is filing this Certificate of Formation for the purpose of forming a limited liability company pursuant to Section 18-201 of the Delaware Limited Liability Company Act of the State of Delaware.

ARTICLE I

The name of the limited liability company is BATS Hotspot SEF LLC (the "Company").

ARTICLE II

The registered office of the Company in the State of Delaware is 1209 Orange Street, in the City of Wilmington, County of New Castle, Delaware 19801. The name of the registered agent for service of process on the Company in the State of Delaware is The Corporation Trust Company.

IN WITNESS WHEREOF, the undersigned has executed this Certificate of Formation this 1st day of May, 2015.


Chris Concannon, Authorized Person

Q BATS INTERNATIONAL HOLDINGS LIMITED

R BATS HOTSPOT EUROPE LIMITED

S BATS HOTSPOT ASIA PTE. LTD.

T BATS TRADING LIMITED

U CHI-X EUROPE LIMITED

V BATS FX, INC.

W BLUE MERGER SUB INC.

X DELTA MERGER SUB LLC

Exhibit M

Exhibit Request:

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

1. Name,
2. Date of election to membership or acceptance as a participant, subscriber or other user,
3. Principal business address and telephone number,
4. If member, participant, 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, participant, 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 members, participants, subscribers, or other users in each, and
6. The class of membership, participation or subscription or other access.

Response:

Attached please find a list of the current Members and Sponsored Participants accepted as Users of the Exchange.

| Company Name | BZX Approval Date | BYX Approval Date | EDGA Approval Date | EDGX Approval Date | Type of User | Address | Phone Number | Primary Activities |
|--|-------------------|-------------------|--------------------|--------------------|-----------------------|---|--------------|--|
| Abel/Noser Corp. | 8/18/2008 | 9/1/2010 | NA | NA | Member | One Battery Park Plaza 6th Floor New York, NY 10004 | 646-432-4040 | Agency |
| ABN AMRO Clearing Chicago, LLC | 10/15/2008 | 10/1/2010 | 5/25/2010 | 5/27/2010 | Member | 175 W Jackson Boulevard Suite 400 Chicago, IL 60604 | 312-604-8643 | Market Maker |
| Agency Desk, LLC (formerly Samurai Trading, LLC) | 7/1/2009 | NA | NA | NA | Member | 515 Madison Avenue 22nd Floor New York, NY 10022 | 212-935-9835 | Market Maker |
| Agency Trading Group, Inc. | 10/23/2008 | 9/2/2014 | NA | 5/27/2010 | Member | 235 E Lake Street Wayzata, MN 55391 | 952-476-9500 | Agency |
| Albert Fried & Company, LLC | 8/18/2008 | 4/15/2011 | 5/18/2010 | 5/18/2010 | Member | 45 Broadway 24th Floor New York, NY 10006 | 212-422-7282 | Agency |
| Alpine Securities Corporation | 11/3/2008 | 11/15/2010 | NA | NA | Member | 39 Exchange Place Salt Lake City, UT 84111 | 801-355-5588 | Agency |
| Altemet Securities, Inc. | NA | NA | 5/25/2010 | 5/25/2010 | Member | 380 Madison Ave 4th Floor New York, NY 10017 | 212-444-6176 | Agency |
| Apex Clearing Corporation | 6/5/2012 | 6/5/2012 | 6/5/2012 | 6/5/2012 | Member | 1700 Pacific Avenue Suite 1400 Dallas, TX 75201 | 214-765-1170 | Clearing Firm |
| Archipelago Securities, LLC | 8/18/2008 | 9/1/2010 | 5/25/2010 | 5/27/2010 | Member | 100 South Wacker Drive Suite 1800 Chicago, IL 60606 | 312-442-7046 | Exchange |
| Arxis Securities, LLC | 12/22/2014 | NA | NA | NA | Member | 527 Madison Avenue 18th Floor New York, NY 10022 | 646-565-3302 | Proprietary |
| Ascendant Capital Markets, LLC | 4/1/2011 | 4/1/2011 | NA | NA | Member | 18881 Von Karman 16th Floor Irvine, CA 92612 | 949-218-2486 | Agency |
| Athena Capital Research, LLC | 7/1/2009 | 10/20/2010 | NA | NA | Sponsored Participant | 440 Ninth Avenue 11th Floor New York, NY 10001 | 212-931-9056 | Proprietary |
| ATM Execution LLC | 3/15/2012 | 3/15/2012 | 3/21/2012 | 3/21/2012 | Member | 599 Lexington Avenue 21st Floor New York, NY 10022 | 646-562-1554 | Market Maker |
| Automated Trading Desk Financial Services, LLC | 8/18/2008 | 9/15/2010 | 5/25/2010 | 5/27/2010 | Member | 11 Ewall Street Mount Pleasant, SC 29464 | 843-789-2166 | Proprietary |
| Barclays Capital, Inc. | 8/18/2008 | 10/1/2010 | 5/14/2010 | 5/14/2010 | Member | 745 7th Avenue New York, NY 10019 | 212-412-2125 | Institutional |
| BATS Trading, Inc. | 10/23/2008 | 9/1/2010 | 5/14/2010 | 5/14/2010 | Member | 8050 Marshall Drive Suite 120 Lenexa, KS 66214 | 913-815-7000 | Limited Routing Facility of BATS Exchange |
| Bay Crest Partners, LLC | 10/15/2008 | NA | 5/25/2010 | 5/27/2010 | Member | 40 Wall Street 42nd Floor New York, NY 10005 | 212-480-1400 | Agency |
| Bayes Capital, LLC | 1/15/2015 | 1/30/2015 | 1/30/2015 | 1/30/2015 | Member | 54 Jefferson Avenue Westwood, NJ 07675 | 201-660-7188 | Agency |
| Belvedere Trading, LLC | 11/1/2011 | 3/1/2012 | 11/29/2011 | NA | Member | 10 South Riverside Plaza #2100 Chicago, IL 60606 | 312-262-3420 | Proprietary |
| Benjamin & Jerold Brokerage I, LLC | 10/1/2009 | NA | NA | NA | Member | 80 Broad Street 5th Floor New York, NY 10005 | 646-201-5024 | Agency |
| BGC Financial, LP | 8/17/2009 | NA | NA | NA | Member | One Seaport Plaza 19th Floor New York, NY 10038 | 646-346-7412 | Agency |
| Blaylock Beal Van, LLC | 5/3/2010 | NA | NA | NA | Member | 600 Lexington Avenue 3rd Floor New York, NY 10022 | 212-715-6600 | Agency |
| Bloomberg Tradebook, LLC | 10/23/2008 | 10/4/2010 | 5/14/2010 | 5/14/2010 | Member | 1633 Broadway 48th Floor New York, NY 10019 | 212-617-1184 | Agency |
| Blue Fire Capital, LLC | 8/18/2008 | 10/8/2010 | 5/25/2010 | 5/27/2010 | Member | 311 South Wacker Drive Suite 2000 Chicago, IL 60606 | 312-242-0504 | Proprietary |
| Bluefin Trading, LLC | 8/3/2009 | NA | 9/27/2013 | 8/13/2013 | Member | 3 Park Avenue 37th Floor New York, NY 10016 | 914-227-9555 | Agency |
| BMO Capital Markets Corp. | 8/18/2008 | 11/15/2010 | 7/15/2014 | 7/15/2014 | Member | 3 Times Square New York, NY 10036 | 212-885-4045 | Agency |
| BMT Trading, LLC | 2/1/2010 | NA | NA | NA | Sponsored Participant | 800 Third Avenue New York, NY 10022 | 212-813-0870 | Proprietary |
| BNP Paribas Prime Brokerage, Inc. | 12/3/2012 | 12/3/2012 | NA | NA | Member | 787 7th Avenue New York, NY 10019 | 917-472-4991 | Clearing Firm |
| BNP Paribas Securities Corp. | 8/18/2008 | 9/15/2010 | 5/25/2010 | 5/27/2010 | Member | 787 7th Avenue New York, NY 10019 | 212-841-3676 | Proprietary |
| BTIG, LLC | 8/18/2008 | 11/15/2010 | 5/25/2010 | 5/27/2010 | Member | 600 Montgomery Street 6th Floor San Francisco, CA 94111 | 415-248-2225 | Market Maker |
| Bulltick, LLC | 1/15/2009 | NA | NA | NA | Member | 701 Brickell Avenue Suite 2550 Miami, FL 33131 | 212-616-2604 | Agency |
| C&C Trading, LLC | 8/18/2008 | 10/11/2010 | 5/25/2010 | 5/27/2010 | Member | 111 Broadway Suite 808 New York, NY 10006 | 212-433-7589 | Proprietary |
| Canaccord Genuity, Inc. | 10/1/2013 | 10/1/2013 | 6/10/2010 | 6/10/2010 | Member | 350 Madison Avenue New York, NY 10017 | 212-389-8156 | Market Maker |
| Canadian Imperial Holdings, Inc. | 10/15/2008 | 11/15/2010 | NA | NA | Sponsored Participant | 300 Madison Avenue 5th Floor New York, NY 10017 | 212-856-3877 | Proprietary |
| Cantor Fitzgerald & Co. | 10/23/2008 | 2/13/2015 | 5/25/2010 | 5/27/2010 | Member | 110 East 59th Street 4th Floor New York, NY 10022 | 212-829-5226 | Institutional / Agency |
| Capital Institutional Services, Inc. | 8/18/2008 | NA | 5/25/2010 | 5/27/2010 | Member | 1601 Elm Street Suite 3900 Dallas, TX 75201 | 214-978-4767 | Agency |

| Company Name | BZX Approval Date | BYX Approval Date | EDGA Approval Date | EDGX Approval Date | Type of User | Address | Phone Number | Primary Activities |
|---------------------------------------|-------------------|-------------------|--------------------|--------------------|-----------------------|---|--------------|---------------------------------------|
| CastleOak Securities, LP | NA | NA | 5/14/2010 | 5/14/2010 | Member | 110 E. 59th Street 2nd Floor New York, NY 10022 | 212-829-4776 | Agency |
| CF Global Trading, LLC | 10/23/2008 | 1/3/2011 | NA | NA | Member | 99 Park Avenue Suite 1710 New York, NY 10016 | 212-888-4673 | Market Maker |
| Chimera Securities, LLC | 6/2/2014 | 6/2/2014 | 6/25/2014 | 6/25/2014 | Member | 225 Park Avenue South 17th Floor New York, NY 10003 | 646-597-6146 | Proprietary Trading |
| Churchill Capital USA, Inc. | 8/18/2008 | NA | NA | NA | Member | 1270 Avenue of the Americas Suite 1910 New York, NY 10020 | 212-994-5477 | Agency |
| CIBC World Markets Corp. | 8/18/2008 | 11/15/2010 | NA | NA | Member | 425 Lexington Avenue New York, NY 10017 | 212-667-7030 | Proprietary |
| Citadel Securities, LLC | 10/23/2008 | 10/1/2010 | 5/14/2010 | 5/14/2010 | Member | 131 South Dearborn Street 32nd Floor Chicago, IL 60603 | 312-756-4416 | Market Maker |
| Citigroup Global Markets, Inc. | 9/24/2008 | 12/15/2010 | 5/25/2010 | 5/27/2010 | Member | 390-388 Greenwich Street New York, NY 10013 | 212-723-7700 | Full Service |
| CJS Securities, Inc. | 7/15/2009 | 3/15/2011 | NA | NA | Member | 50 Main Street Suite 325 White Plains, NY 10606 | 914-287-7600 | Agency |
| Clearpool Execution Services, LLC | 5/15/2014 | 5/15/2014 | 6/16/2014 | 6/16/2014 | Member | 17 State Street 38th Floor New York, NY 10004 | 212-531-8532 | Public Customer Business |
| CLSA Americas, LLC | NA | NA | 5/21/2013 | 5/21/2013 | Member | 1301 Avenue of the Americas New York, NY 10019 | 212-408-5719 | Agency |
| CMT Fund XXV Limited | 7/2/2012 | 7/2/2012 | NA | NA | Sponsored Participant | 500 West Monroe Street Suite 2630 Chicago, IL 60661 | 312-320-7897 | Agency |
| CMT Trading, LLC | 3/17/2014 | 3/17/2014 | 3/5/2014 | 3/5/2014 | Member | 500 West Monroe Street Suite 2630 Chicago, IL 60661 | 312-612-6930 | Proprietary |
| Compass Professional Services, LLC | 6/15/2011 | NA | NA | NA | Member | 111 W. Jackson Boulevard 20th Floor Chicago, IL 60604 | 312-692-5010 | Proprietary |
| Concept Capital Markets, LLC | 3/15/2011 | 3/15/2011 | NA | NA | Member | 1010 Franklin Avenue Suite 303 Garden City, NY 11530 | 212-702-7198 | Agency |
| ConvergEx Execution Solutions, LLC | 10/15/2008 | 9/1/2010 | 5/25/2010 | 5/27/2010 | Member | 1633 Broadway 48th Floor New York, NY 10019 | 212-468-8466 | Full Service |
| COR Clearing, LLC | 10/15/2009 | NA | NA | NA | Member | 1200 Landmark Center 1299 Farnam Street Suite 800 Omaha, NE 68102 | 402-384-6164 | Clearing Firm |
| Cowen and Company, LLC | 8/18/2008 | 10/7/2010 | 5/14/2010 | 5/14/2010 | Member | 599 Lexington Avenue 20th Floor New York, NY 10022 | 646-562-1623 | Market Maker |
| Credit Suisse Securities (USA), LLC | 9/3/2008 | 10/1/2010 | 5/25/2010 | 5/27/2010 | Member | 11 Madison Avenue 24th Floor New York, NY 10010 | 212-538-6067 | Full Service |
| Critical Trading, LLC | 7/1/2014 | NA | NA | NA | Member | 120 West 45th Street Suite 120 New York, NY 10036 | 646-918-0529 | Firm Proprietary Trading/Market Maker |
| Cutler Group, LP | 4/1/2010 | 10/6/2010 | NA | NA | Member | 101 Montgomery Street Suite 700 San Francisco, CA 94104 | 415-293-3956 | Market Maker |
| Cuttone & Co., Inc. | NA | NA | 5/25/2010 | 5/27/2010 | Member | 111 Broadway 10th Floor New York, NY 10006 | 646-943-5451 | Market Maker |
| DART Executions, LLC | 8/18/2008 | 10/1/2010 | 5/25/2010 | 5/27/2010 | Member | 350 North Orleans Street Suite 2N Chicago, IL 60654 | 312-244-5408 | Proprietary |
| Dash Financial, LLC | 10/23/2008 | 7/2/2012 | 6/9/2010 | 6/9/2010 | Member | 180 W. Adams Street 6th Floor Chicago, IL 60603 | 312-986-6210 | Market Maker |
| DE Route | 9/8/2008 | 10/4/2010 | 6/10/2010 | 4/29/2010 | Member | 545 Washington Boulevard Jersey City, NJ 07310 | 212-479-2319 | ATS |
| Deutsche Bank Securities, Inc. | 10/15/2008 | 10/11/2010 | 5/21/2010 | 5/21/2010 | Member | 60 Wall Street New York, NY 10005 | 212-250-7635 | Full Service |
| Divine Capital Markets, LLC | 10/15/2009 | NA | NA | NA | Member | 39 Broadway 36th Floor New York, NY 10006 | 212-344-5867 | Agency |
| Dougall & Associates, Inc. | 5/15/2014 | NA | NA | NA | Member | 440 S LaSalle Street Chicago, IL 60605 | 312-663-2670 | Proprietary / Agency |
| DRW Securities, LLC | 9/1/2009 | 11/1/2010 | 5/25/2010 | 5/27/2010 | Member | 540 West Madison Street Suite 2500 Chicago, IL 60661 | 312-542-3226 | Proprietary / Market Maker |
| E*TRADE Securities, LLC | NA | NA | NA | 6/10/2010 | Member | 1271 Avenue of the Americas 14th Street New York, NY 10020 | 703-236-8656 | Agency |
| Electronic Transaction Clearing, Inc. | 10/23/2008 | 9/1/2010 | 5/25/2010 | 5/27/2010 | Member | 660 S. Figueroa Street Suite 1450 Los Angeles, CA 90017 | 213-402-1564 | Market Maker |
| Essex Radez, LLC | 2/17/2009 | 10/1/2010 | 5/10/2010 | 5/14/2010 | Member | 440 South LaSalle Suite 1111 Chicago, IL 60605 | 312-212-1815 | Service Bureau |
| First Clearing, LLC | 8/18/2008 | NA | NA | NA | Member | One North Jefferson Avenue Mail Code: H0004-095 St. Louis, MO 63103 | 314-875-4843 | Full Service |
| First New York Securities, LLC | NA | NA | 6/10/2010 | 6/10/2010 | Member | 90 Park Avenue 5th Floor New York, NY 10016 | 212-848-0600 | Proprietary |
| Flow Traders US, LLC | 10/1/2009 | 8/1/2012 | 2/28/2014 | 2/28/2014 | Member | 1095 Avenue of the Americas 24th Floor, Suite B New York, NY 10036 | 917-210-5020 | Hedge Fund |
| G1 Execution Services, LLC | 8/18/2008 | 12/1/2010 | 4/17/2010 | 4/17/2010 | Member | 440 South LaSalle Suite 3030 Chicago, IL 60605 | 312-986-8232 | Market Maker |
| GDK, Inc. | 6/1/2010 | 1/3/2011 | 5/23/2011 | 5/23/2011 | Member | c/o ART Advisors, LLC 500 Park Avenue New York, NY 10022 | 212-303-6179 | Proprietary |

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| Gelber Securities, LLC | 5/1/2015 | NA | NA | NA | Member | 350 N. Orleans Street 7th FLOOR Chicago, IL 60654 | 312-408-4354 | Firm Proprietary Trading |
| Gildner Gagnon Howe & Co., LLC | 10/23/2008 | NA | NA | NA | Member | 3 Columbus Circle New York, NY 10019 | 212-424-0208 | Institutional |
| Global Execution Brokers, LP | 2/1/2010 | 10/5/2010 | NA | NA | Member | 401 City Avenue Suite 220 Bala Cynwyd, PA 19004 | 312- 435-4167 | Institutional |
| Global HFT Management, LLC | 10/1/2010 | NA | NA | NA | Sponsored Participant | 800 Third Avenue New York, NY 10022 | 212-813-0870 | Proprietary |
| Global Liquidity Partners, LLC | 4/21/2011 | 5/15/2012 | NA | NA | Sponsored Participant | 12 Broad Street Suite 201 Redbank, NJ 07701 | 773-459-4665 | Agency |
| Goldman Sachs & Co. | 10/23/2008 | 10/12/2010 | 5/14/2010 | 5/14/2010 | Member | 200 West Street New York, NY 10282 | 212-357-4587 | Full Service |
| Goldman Sachs Execution & Clearing, LP | 10/15/2008 | 10/1/2010 | 5/14/2010 | 5/14/2010 | Member | 200 West Street New York, NY 10282 | 212-357-7519 | Full Service |
| Grace Financial Group, LLC | 10/23/2008 | NA | 5/25/2010 | 5/27/2010 | Member | 83 Jobs Lane Southampton, NY 11968 | 631-287-4633 | Agency |
| Great Point Capital, LLC | 2/2/2015 | 2/2/2015 | 2/2/2015 | 2/2/2015 | Member | 175 W. Jackson Blvd. Suite 1450 Chicago, IL 60604 | 312-356-4668 | Agency |
| Green Street Trading, LLC | 11/1/2011 | NA | NA | NA | Member | 660 Newport Center Drive Suite 800 Newport Beach, CA 92660 | 214-749-4730 | Agency |
| GSN North America, Inc. | 8/18/2008 | NA | NA | NA | Member | 520 Madison Avenue New York, NY 10022 | 212-659-6292 | Agency |
| GTS Securities, LLC | 12/17/2013 | 5/1/2012 | 6/2/2014 | 6/2/2014 | Member | 545 Madison Avenue 15th Floor New York, NY 10022 | 212-715-2837 | Proprietary |
| Hainey Investments Limited | 6/16/2014 | NA | NA | NA | Sponsored Participant | Themistoki Dervi 41 #806-807 Nicosia, Cyprus | 704-248-8221 | Proprietary |
| HAP Trading, LLC | 10/1/2009 | 11/15/2010 | 6/2/2010 | 6/2/2010 | Member | 33 Whitehall Street 6th Floor New York, NY 10004 | 212-380-5186 | Proprietary |
| Hardcastle Trading USA, LLC | 4/15/2009 | NA | 5/25/2010 | 5/27/2010 | Member | 755 Secaucus Road Suite F-1110 Secaucus, NJ 07094 | 201-305-8817 | Proprietary |
| Henning-Carey Proprietary Trading, LLC | 8/15/2012 | NA | NA | NA | Sponsored Participant | 141 W. Jackson Boulevard Suite 1801 Chicago, IL 60604 | 312-789-8764 | Proprietary |
| Highbridge Capital Management, LLC | 10/23/2008 | NA | NA | NA | Sponsored Participant | 9 West 57th Street 27th Floor New York, NY 10019 | 212-287-4900 | Proprietary |
| Hold Brothers Capital, LLC | NA | NA | 6/8/2011 | 6/8/2011 | Member | 525 Washington Boulevard Suite 2450 Jersey City, NJ 07310 | 646-745-2133 | Proprietary |
| HRT Financial, LLC | 2/1/2010 | 10/1/2010 | 5/18/2010 | 5/18/2010 | Member | 32 Old Slip 30th Floor New York, NY 10005 | 212-293-1927 | Proprietary |
| ICAP Corporates, LLC | NA | NA | 3/28/2013 | NA | Member | Harborside Financial Center 1100 Plaza 5, 12th Floor Jersey City, NJ 07311 | 212-341-9950 | Agency |
| IEX Services, LLC | 10/1/2013 | 10/1/2013 | 9/24/2013 | 9/24/2013 | Member | 7 World Trade Center 30th Floor New York, NY 10007 | 646-568-2337 | ATS |
| IMC Financial Markets | 8/18/2008 | 10/1/2010 | 5/25/2010 | 5/27/2010 | Member | 233 South Wacker Drive Suite 4300 Chicago, IL 60606 | 312-244-3320 | Proprietary |
| Imperial Capital, LLC | 10/23/2008 | NA | 5/25/2010 | 5/27/2010 | Member | 2000 Avenue of the Stars 9th Floor Los Angeles, CA 90067 | 310-246-3674 | Market Maker |
| Industrial and Commercial Bank of China Financial Services, LLC | 5/15/2014 | 5/15/2014 | NA | NA | Member | 1633 Broadway New York, NY 10019 | 212-300-8520 | Clearing Services |
| Instinet, LLC | 8/18/2008 | 9/1/2010 | 5/14/2010 | 5/14/2010 | Member | 1095 Avenue of the Americas New York, NY 10036 | 212-310-4097 | Agency |
| Interactive Brokers, LLC | 8/18/2008 | 9/15/2010 | 5/25/2010 | 5/27/2010 | Member | One Pickwick Plaza 2nd Floor Greenwich, CT 06830 | 203-618-5870 | Full Service |
| International Correspondent Trading, Inc. | 8/18/2008 | NA | NA | NA | Member | 525 Washington Boulevard Suite 2401 Jersey City, NJ 07310 | 201-222-9300 | Agency |
| ISTRA, LLC | 12/15/2011 | 12/15/2011 | NA | NA | Sponsored Participant | 230 Park Avenue 10th Floor New York, NY 10169 | 718-618-4929 | Proprietary |
| ITG Derivatives, LLC | 8/18/2008 | 11/15/2010 | NA | NA | Member | 601 S. LaSalle Street Suite 300 Chicago, IL 60605 | 312-334-8042 | Market Maker |
| ITG, Inc. | 8/18/2008 | 10/1/2010 | 5/25/2010 | 5/27/2010 | Member | One Liberty Plaza 165 Broadway, 4th Floor New York, NY 10006 | 212-444-6259 | Agency |
| Jane Street Capital, LLC | 5/1/2009 | 11/15/2010 | 5/14/2010 | 5/14/2010 | Member | One New York Plaza New York, NY 10004 | 212-651-6060 | Agency / Proprietary |
| Jane Street Options, LLC | 1/3/2012 | NA | NA | NA | Sponsored Participant | One New York Plaza New York, NY 10004 | 212-651-6969 | Proprietary |
| Jaypee International, Inc. | 10/15/2009 | NA | NA | NA | Member | 30 South Wacker Drive Suite 1700 Chicago, IL 60606 | 312-655-7606 | Agency |
| Jefferies Execution Services, Inc. | 8/26/2008 | 9/1/2010 | 5/25/2010 | 5/27/2010 | Member | 520 Madison Avenue New York, NY 10022 | 646-805-5415 | Full Service |
| Jefferies Investment Advisers | 7/1/2011 | 7/15/2011 | NA | NA | Sponsored Participant | 520 Madison Avenue New York, NY 10022 | 212-323-3993 | Full Service |
| Jefferies, LLC | 10/23/2008 | 10/19/2010 | 5/25/2010 | 5/27/2010 | Member | 520 Madison Avenue New York, NY 10022 | 212-323-3987 | Full Service |

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| JNK Securities Corp. | 11/17/2008 | 11/15/2010 | NA | NA | Member | 902 Broadway 20th Floor New York, NY 10010 | 212-885-6311 | Agency |
| JP Morgan Clearing Corp. | 10/23/2008 | 9/15/2010 | NA | NA | Member | 383 Madison Avenue New York, NY 10179 | 212-272-6655 | Full Service |
| JP Morgan Securities, LLC | 8/18/2008 | 9/15/2010 | 5/14/2010 | 5/14/2010 | Member | 383 Madison Avenue New York, NY 10179 | 212-622-5504 | Full Service |
| Juliet Group, LLC | 3/1/2011 | 3/1/2011 | NA | NA | Sponsored Participant | 240 E. 35th Street #3A New York, NY 10016 | 646-360-0595 | Proprietary |
| Jump Trading, LLC | 8/18/2008 | 10/1/2010 | 5/14/2010 | 5/14/2010 | Member | 600 West Chicago Avenue Suite 825 Chicago, IL 60654 | 312-930-9603 | Proprietary |
| KCG Americas, LLC | 9/15/2009 | 10/14/2010 | 1/3/2011 | 1/3/2011 | Member | 545 Washington Boulevard Jersey City, NJ 07310 | 201-356-4232 | Agency |
| Keefe Bruyette & Woods, Inc. | 8/18/2008 | 12/1/2010 | 6/8/2010 | 6/8/2010 | Member | 787 7th Avenue New York, NY 10019 | 212-887-8965 | Agency |
| Kepler Capital Markets, Inc. | 7/15/2013 | 7/15/2013 | 7/17/2013 | 7/17/2013 | Member | 600 Lexington Avenue 28th Floor New York, NY 10022 | 212-710-7625 | Agency |
| Kershner Securities, LLC | 2/12/2009 | 11/1/2010 | NA | NA | Member | 1825-B Kramer Lane Suite 200 Austin, TX 78758 | 512-439-8140 | Proprietary |
| KeyBanc Capital Markets, Inc. | 11/17/2008 | 11/15/2010 | NA | NA | Member | 127 Public Square Cleveland, OH 44114 | 216-443-3978 | Agency |
| Keystone Trading Partners | 2/1/2013 | NA | NA | NA | Member | 660 Narcisi Lane Wayne, PA 19018 | 918-407-3288 | Options Market Maker |
| L & R Trading, LLC | 9/1/2011 | 9/1/2011 | 8/12/2013 | 8/12/2013 | Member | 61 Broadway Suite 2830 New York, NY 10006 | 212-433-7262 | Market Maker |
| Lampert Capital Markets, Inc. | 2/18/2014 | 2/18/2014 | 2/26/2014 | 2/26/2014 | Member | 477 Madison Avenue Suite 230 New York, NY 10022 | (646) 367-4660 | Introducing Broker |
| Latour Trading, LLC | 8/17/2009 | 10/1/2010 | 5/26/2010 | 5/27/2010 | Member | 377 Broadway 10th Floor New York, NY 10013 | 917-388-8625 | Proprietary |
| LavaFlow, Inc. | 9/1/2008 | 9/15/2010 | 5/26/2010 | 5/27/2010 | Member | 388 Greenwich Street 29th Floor New York, NY 10013 | 212-519-8965 | Agency |
| Leerink Partners, LLC | 8/18/2008 | 10/5/2010 | 5/26/2010 | 5/27/2010 | Member | 1 Federal Street 37th Floor Boston, MA 02110 | 800-808-7525 | Agency |
| LEK Securities Corporation | 8/18/2008 | 10/1/2010 | 5/26/2010 | 5/27/2010 | Member | 1 Liberty Plaza 165 Broadway, 52nd Floor New York, NY 10006 | 212-509-2300 | Agency |
| Lightspeed Trading, LLC | 8/18/2008 | 11/15/2010 | 5/19/2010 | 5/19/2010 | Member | 1001 Avenue of the Americas 16th Floor New York, NY 10018 | 646-393-4814 | Proprietary |
| Lime Brokerage, LLC | 8/18/2008 | 10/1/2010 | 5/26/2010 | 5/27/2010 | Member | 625 Broadway 12th Floor New York, NY 10012 | 212-219-6086 | Agency |
| Liquidnet, Inc. | 9/1/2009 | 9/15/2010 | NA | NA | Member | 498 7th Avenue 12th Floor New York, NY 10018 | 646-660-8310 | Institutional |
| LiquidPoint, LLC | 9/1/2010 | NA | NA | NA | Member | 311 South Wacker Drive Suite 4700 Chicago, IL 60606 | 312-986-2006 | Order Management Service |
| Macquarie Capital (USA), Inc. | 12/1/2009 | NA | 5/26/2010 | 5/27/2010 | Member | 125 West 55th Street Level 22 New York, NY 10019 | 212-231-2501 | Agency |
| Marathon Trading Group, LLC | 2/13/2015 | NA | NA | NA | Member | 100 Matsonford Road Building 3, Suite 240 Wayne, PA 19087 | 610-254-4890 | Options Market Maker |
| MB Trading | 2/17/2009 | 12/15/2010 | NA | NA | Member | 1926 East Maple Avenue El Segundo, CA 90245 | 866-628-3001 | Retail / Agency |
| Merrill Lynch Pierce Fenner & Smith, Incorporated | 8/18/2008 | 10/4/2010 | 5/14/2010 | 5/14/2010 | Member | One Bryant Park New York, NY 10036 | 212-449-6090 | Full Service |
| Merrill Lynch Professional Clearing Corp. | 8/18/2008 | 10/5/2010 | 5/14/2010 | 5/14/2010 | Member | One Bryant Park NY1-100-06-01 New York, NY 10036 | 312-260-5601 | Clearing Firm |
| Mitsubishi UFJ Securities (USA), Inc. | 8/18/2008 | 10/14/2010 | 5/26/2010 | 5/27/2010 | Member | 1633 Broadway 29th Floor New York, NY 10019 | 212-782-4187 | Institutional / Agency |
| Mizuho Securities USA, Inc. | 6/1/2010 | 1/3/2011 | NA | NA | Member | 320 Park Avenue 12th Floor New York, NY 10022 | 212-209-9338 | Agency |
| MKM Partners, LLC | 8/3/2009 | NA | 5/14/2010 | 5/14/2010 | Member | 300 First Stamford Place 4th Floor East Wing Stamford, CT 06902 | 203-987-4005 | Agency |
| Monadnock Capital Management, LP | 5/15/2009 | NA | 5/26/2010 | 5/27/2010 | Member | 1845 Walnut Street Suite 940 Philadelphia, PA 19103 | 215-405-7280 | Proprietary / Market Maker |
| Moors & Cabot, Inc. | NA | 4/2/2012 | NA | NA | Member | 111 Devonshire Street Boston, MA 02109 | 617-314-0295 | Agency |
| Morgan Stanley & Co., LLC | 10/23/2008 | 9/1/2010 | 5/14/2010 | 5/14/2010 | Member | 1585 Broadway New York, NY 10036 | 212-761-9324 | Full Service |
| MYD Market, Inc. | 2/1/2010 | NA | NA | NA | Member | 608 5th Avenue Suite 602 New York, NY 10020 | 212-424-2101 | Agency |
| NASDAQ Execution Services, LLC | 8/19/2008 | 9/1/2010 | 5/26/2010 | 5/27/2010 | Member | One Liberty Plaza 165 Broadway New York, NY 10006 | 212-231-5177 | Exchange |
| NASDAQ Options Services, LLC | 2/1/2010 | NA | NA | NA | Member | One Liberty Plaza 165 Broadway New York, NY 10006 | 212-401-8970 | Exchange |
| National Financial Services, LLC | 10/23/2008 | 10/4/2010 | 5/26/2010 | 5/27/2010 | Member | 200 Seaport Boulevard Boston, MA 02210 | 201-915-8264 | Retail / Agency |

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| National Securities Corporation | 7/1/2009 | NA | NA | NA | Member | 1001 Fourth Avenue Suite 3750 Seattle, WA 98154 | 212-417-3636 | Agency |
| Needham & Company, LLC | 10/23/2008 | 10/1/2010 | NA | NA | Member | 445 Park Avenue New York, NY 10022 | 212-371-8411 | Market Maker |
| Newedge USA, LLC | 10/23/2008 | 10/21/2010 | 5/26/2010 | 5/27/2010 | Member | 550 W. Jackson Boulevard Suite 500 Chicago, IL 60661 | 646-557-8387 | Full Service |
| Nomura Securities International, Inc. | 10/23/2008 | 10/1/2010 | 5/26/2010 | 5/27/2010 | Member | Worldwide Plaza 309 West 49th Street New York, NY 10019 | 212-667-9131 | Institutional |
| Northern Trust Securities, Inc. | 8/18/2008 | 10/5/2010 | 5/26/2010 | 5/27/2010 | Member | 50 South LaSalle Street Chicago, IL 60603 | 312-630-6045 | Market Maker |
| Northland Securities, Inc. | 12/15/2010 | 12/15/2010 | NA | NA | Member | 45 South 7th Street 20th Floor Minneapolis, MN 55402 | 612-851-5934 | Proprietary |
| OBD Securities, LLC | 9/1/2011 | NA | NA | 2/9/2012 | Member | 150 N. Michigan Avenue Suite 3700 Chicago, IL 60601 | 312-768-1643 | Proprietary |
| Old Mission Capital, LLC | 4/16/2012 | 4/16/2012 | 4/25/2012 | 4/25/2012 | Member | 314 West Superior Suite 200 Chicago, IL 60654 | 617-642-6120 | Proprietary |
| Oppenheimer & Co., Inc. | 10/23/2008 | 10/12/2010 | 5/14/2010 | 5/14/2010 | Member | 85 Broad Street 22nd/24th Floor New York, NY 10004 | 212-668-8152 | Agency |
| optionsXpress, Inc. | 6/15/2010 | NA | NA | NA | Member | 311 West Monroe Suite 1000 Chicago, IL 60606 | 312-630-3300 | Retail |
| Optiver US, LLC | 6/15/2009 | NA | NA | NA | Member | 130 East Randolph Street 13th Floor Chicago, IL 60601 | 312-821-9263 | Proprietary / Market Maker |
| OTA, LLC | 8/18/2008 | 10/7/2010 | NA | NA | Member | One Manhattanville Road Purchase, NY 10577 | 914-460-4071 | Institutional |
| OTR Global Trading, LLC | 12/15/2008 | NA | NA | NA | Member | One Manhattanville Road Purchase, NY 10577 | 914-460-4099 | Institutional |
| PDQ ATS, Inc. | 10/15/2008 | 10/4/2010 | 5/26/2010 | 5/27/2010 | Member | 2624 Patriot Boulevard Glenview, IL 60026 | 224-521-2494 | ATS |
| PEAK6 Capital Management, LLC | 8/1/2014 | NA | NA | NA | Member | 141 W. Jackson Blvd. Suite 500 Chicago, IL 60604 | 312-362-2357 | Proprietary Trading |
| PEAK6 Capital Management, LLC | 11/3/2008 | 7/15/2011 | NA | NA | Sponsored Participant | 141 W. Jackson Blvd. Suite 500 Chicago, IL 60604 | 312-362-2401 | Market Maker |
| Pensera Securities, LLC | 8/18/2008 | 10/6/2010 | NA | NA | Member | 140 Broadway 26th Floor New York, NY 10005 | 212-607-3190 | Agency |
| Pershing, LLC | 8/18/2008 | 9/15/2010 | 5/26/2010 | 5/27/2010 | Member | One Pershing Place Jersey City, NJ 07399 | 201-413-2826 | Agency |
| Pico Quantitative Trading, LLC | NA | NA | 6/10/2010 | 6/10/2010 | Member | 120 Wall Street 16th Floor New York, NY 10005 | 917-714-5376 | Agency |
| Pictet Overseas, Inc. | NA | NA | 5/26/2010 | 5/27/2010 | Member | 1000 de la Cauchette Suite 3100 Montreal, Quebec H3B 0Y6 | 514-350-6263 | Agency |
| Pinnacle Capital Markets, LLC | 11/3/2008 | 12/1/2010 | NA | NA | Member | 4700 Falls Neuse Suite 390 Raleigh, NC 27609 | 919-850-0888 | Agency |
| Piper Jaffray & Co. | 10/15/2008 | 11/15/2012 | 5/14/2010 | 5/14/2010 | Member | 800 Nicollet Mall Minneapolis, MN 55402 | 612-303-2211 | Market Maker |
| Potamus Trading, LLC | 4/15/2013 | 4/15/2013 | 4/11/2013 | 4/11/2013 | Member | 2 Seaport Lane 5th Floor Boston, MA 02210 | 617-855-8721 | Proprietary / Market Maker |
| Quantex Clearing, LLC | 10/3/2011 | 12/27/2011 | 5/17/2011 | 5/17/2011 | Member | 70 Hudson Street Hoboken, NJ 07030 | 646-214-5608 | Clearing Firm |
| Quantlab Securities, LP | 8/18/2008 | 11/1/2010 | 5/26/2010 | 5/27/2010 | Member | 4200 Montrose Boulevard Suite 200 Houston, TX 77006 | 713-333-3704 | Proprietary |
| Quiet Light Securities, LLC | 8/29/2008 | 1/3/2011 | NA | NA | Member | 141 W. Jackson Boulevard Suite 202A Chicago, IL 60604 | 312-229-4195 | Proprietary |
| Rackson Asset Management, LLC | 10/1/2009 | NA | NA | NA | Sponsored Participant | 2000 Broadway Suite 22C New York, NY 10023 | 212-724-2567 | Proprietary |
| Rainier Investment Management, Inc. | 1/4/2010 | NA | NA | NA | Sponsored Participant | 601 Union Street Suite 2801 Seattle, WA 98101 | 206-518-6658 | Hedge Fund |
| Raven Securities Corp. | 6/1/2009 | 11/15/2010 | NA | NA | Member | Accounting & Compliance International 40 Wall Street, 17th Floor New York, NY 10005 | 212-952-0634 | Agency |
| RBC Capital Markets, LLC | 9/18/2008 | 10/14/2010 | 5/14/2010 | 5/14/2010 | Member | 3 World Financial Center 200 Vesey Street New York, NY 10281 | 612-373-1680 | Market Maker |
| Red Cedar Trading, LLC | 4/2/2012 | NA | NA | NA | Member | 520 Lake Cook Road Suite 110 Deerfield, IL 60015 | 847-571-2865 | Market Maker |
| RenCap Securities, Inc. | 11/17/2008 | NA | NA | NA | Member | 780 Third Avenue 20th Floor New York, NY 10017 | 212-824-1097 | Agency |
| RGM Securities, LLC | 8/3/2009 | 10/1/2010 | 5/26/2010 | 5/27/2010 | Member | 221 West 6th Street Suite 2030 Austin, TX 78701 | 512-807-5302 | Proprietary |
| River Cross Securities, LLLP | 5/1/2009 | 10/5/2010 | 6/10/2010 | NA | Member | 401 City Avenue Suite 912 Bala Cynwyd, PA 19004 | 610-747-2333 | ATS |
| RJL Capital Group, LLC | 5/15/2012 | NA | NA | NA | Member | 2 Teleport Drive Suite 107 Staten Island, NY 10311 | 718-303-6000 | Agency |
| Robert W. Baird & Co., Incorporated | 10/23/2008 | 1/3/2011 | NA | NA | Member | 777 East Wisconsin Avenue Milwaukee, WI 53202 | 414-765-3910 | Market Maker |

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| Ronin Capital, LLC | NA | NA | NA | 6/8/2012 | Member | 350 N. Orleans Street Suite 2N Chicago, IL 60654 | 312-244-5284 | Market Maker |
| Ronin Capital, LLC | 8/17/2009 | 11/15/2010 | NA | NA | Sponsored Participant | 350 N. Orleans Street Suite 2N Chicago, IL 60654 | 312-244-5284 | Proprietary / Market Maker |
| Rosenblatt Securities, Inc. | 8/18/2008 | 10/6/2010 | 5/26/2010 | 5/27/2010 | Member | 20 Broad Street 26th Floor New York, NY 10005 | 212-943-5225 | Agency |
| Roth Capital Partners, LLC | 8/18/2008 | NA | NA | NA | Member | 888 San Clemente Suite 150 Newport Beach, CA 92660 | 949-720-5708 | Market Maker |
| RS Platou Markets, Inc. | NA | NA | 1/15/2015 | NA | Member | 410 Park Avenue Suite 710 New York, NY 10022 | 212-317-7099 | Public Customer Business |
| RW Pressprich & Co. | 2/17/2009 | 11/15/2010 | 6/2/2010 | 6/2/2010 | Member | 4521 Fifth Avenue New York, NY 10018 | 212-832-6254 | Agency |
| SAC Capital Advisors, LP | 10/23/2008 | NA | NA | NA | Sponsored Participant | 72 Cummings Point Road Stamford, CT 06902 | 203-890-2275 | Hedge Fund |
| Safra Securities Corporation | NA | NA | 5/26/2010 | 5/27/2010 | Member | 546 Fifth Avenue New York, NY 10036 | 212-704-5524 | Market Maker |
| Sanford C. Bernstein & Co, LLC | 9/10/2008 | 10/21/2010 | 5/26/2010 | 5/27/2010 | Member | 1345 Ave of the Americas New York, NY 10105 | 212-823-2896 | Agency |
| Santander Investment Securities, Inc. | 4/15/2009 | 1/3/2011 | NA | NA | Member | 45 East 53rd Street New York, NY 10022 | 212-350-3659 | Institutional |
| Scotia Capital (USA), Inc. | 3/2/2009 | 9/15/2010 | 5/26/2010 | 5/27/2010 | Member | 1 Liberty Plaza 165 Broadway New York, NY 10006 | 212-225-6705 | Institutional |
| Scottrade, Inc. | 6/1/2010 | 11/15/2010 | 5/26/2010 | 5/27/2010 | Member | 12800 Corporate Hill Drive St. Louis, MO 63131 | 314-965-1555 x.6402 | Retail |
| Seven Points Capital, LLC | 8/18/2008 | 12/15/2010 | 5/14/2010 | 5/14/2010 | Member | 805 Third Avenue 15th Floor New York, NY 10022 | 212-760-0760 | Agency |
| SG Americas Securities, LLC | 9/17/2008 | 11/15/2011 | 5/14/2010 | 5/14/2010 | Member | 245 Park Avenue New York, NY 10167 | 212-278-5232 | Proprietary |
| Simplex Trading, LLC | 3/16/2015 | NA | NA | NA | Member | 230 S. LaSalle Street Suite 4-100 Chicago, IL 60604 | 312-360-2440 | Proprietary |
| Southwest Securities, Inc. | 10/23/2008 | 9/1/2010 | NA | 5/21/2013 | Member | 1201 Elm Street Suite 3500 Dallas, TX 75270 | 214-859-5125 | Clearing Firm |
| Spire X Trading, LLC | 4/1/2013 | 4/1/2013 | NA | NA | Sponsored Participant | 377 Broadway 11th Floor New York, NY 10013 | 917-388-8625 | Proprietary |
| Spot Trading, LLC | 6/1/2012 | NA | 1/25/2013 | 1/25/2013 | Member | 440 South LaSalle Suite 2800 Chicago, IL 60605 | 312-362-4569 | Proprietary |
| Stifel Nicolaus & Company, Incorporated | 8/18/2008 | NA | 6/2/2010 | 6/2/2010 | Member | 501 North Broadway St. Louis, MO 63102 | 410-454-4096 | Agency |
| Stock USA Execution Services, Inc. | 8/18/2008 | 10/14/2010 | 5/26/2010 | 5/27/2010 | Member | 1717 Route 6 Suite 102 Carmel, NY 10542 | 845-531-2631 | Agency |
| Stuart Frankel & Co., Incorporated | 8/18/2008 | NA | NA | NA | Member | 60 Cutter Mill Road Suite 406 Great Neck, NY 11021 | 212-943-8788 | Agency |
| Stuyvesant Trading Group, LLC | 8/15/2013 | NA | NA | NA | Member | 100 Wall Street Suite 604-A New York, NY 10005 | 212-433-7124 | Market Maker |
| Summit Securities Group, LLC | 7/16/2012 | 7/16/2012 | 8/20/2012 | 8/20/2012 | Member | 2 Reclor Street 16th Floor New York, NY 10006 | 646-651-4380 | Proprietary |
| Sumo Capital, LLC | 7/15/2013 | NA | NA | NA | Member | 440 S LaSalle Street Suite 2101 Chicago, IL 60605 | 212-433-7667 | Proprietary |
| Sun Trading, LLC | 8/18/2008 | 10/1/2010 | 5/26/2010 | 5/27/2010 | Member | 100 South Wacker Suite 300 Chicago, IL 60606 | 312-924-4751 | Proprietary |
| Sungard Brokerage & Securities Services, LLC | 8/18/2008 | 10/1/2010 | 5/6/2010 | 5/6/2010 | Member | 2100 Enterprise Avenue Geneva, IL 60134 | 201-356-1488 | Agency |
| SunTrust Robinson Humphrey, Inc. | NA | NA | 5/18/2010 | 5/18/2010 | Member | 3333 Peachtree Road NE Atlanta Financial Center Atlanta, GA 30326 | 404-813-0837 | Agency |
| Susquehanna Capital Group | 9/3/2008 | 10/5/2010 | 5/26/2010 | 5/27/2010 | Member | 401 City Avenue Suite 220 Bala Cynwyd, PA 19004 | 610-617-2996 | Institutional / Agency |
| Susquehanna Financial Group, LLLP | 9/3/2008 | 10/5/2010 | 5/26/2010 | 5/27/2010 | Member | 401 City Avenue Suite 220 Bala Cynwyd, PA 19004 | 610-617-2999 | Institutional / Agency |
| Susquehanna Securities | 10/15/2014 | 10/15/2014 | 10/15/2014 | 10/15/2014 | Member | 401 City Avenue Suite 220 Bala Cynwyd, PA 19004 | 610-617-2618 | Proprietary |
| TD Ameritrade Clearing, Inc. | 5/3/2011 | 5/3/2011 | NA | 5/27/2010 | Member | 200 South 108th Avenue Omaha, NE 68154 | 402-970-5271 | Agency |
| Telsey Advisory Group, LLC | 1/24/2011 | 8/15/2014 | NA | NA | Member | 535 Fifth Avenue 12th Floor New York, NY 10017 | 212-584-4628 | Agency |
| Tewksbury Investment Fund, Ltd. | 10/23/2008 | 11/15/2010 | NA | NA | Sponsored Participant | Washington Mall I 20th Church Street, 4th Floor Hamilton, HM 11 Bermuda | 212-310-7076 | Proprietary |
| Tewksbury Investment Fund, Ltd. | 7/1/2011 | 7/1/2011 | 1/6/2015 | 1/6/2015 | Sponsored Participant | Washington Mall I 20th Church Street, 4th Floor Hamilton, HM 11 Bermuda | 610-971-5000 | Proprietary |
| Themis Trading, LLC | 8/18/2008 | 10/1/2010 | NA | 5/27/2010 | Member | 10 Town Square Suite 100 Chatham, NJ 07928 | 866-384-3647 | Agency |
| ThinkTrade, LLC | 2/1/2010 | 10/20/2010 | 1/9/2015 | 1/9/2015 | Sponsored Participant | 2210 Encinitas Boulevard Suite 1 Encinitas, CA 92024 | 760-452-2451 | Proprietary |

| Company Name | BZX Approval Date | BYX Approval Date | EDGA Approval Date | EDGX Approval Date | Type of User | Address | Phone Number | Primary Activities |
|---|-------------------|-------------------|--------------------|--------------------|-----------------------|---|--------------|----------------------------|
| Timber Hill, LLC | 2/16/2010 | NA | NA | NA | Member | One Pickwick Plaza Suite 200 Greenwich, CT 06830 | 203-618-5806 | Market Maker |
| Track Data Securities Corporation | 9/10/2008 | 9/15/2010 | NA | NA | Member | 1122 Coney Island Avenue Brooklyn, NY 11230 | 718-923-3091 | ATS |
| Tradebol Systems, Inc. | 8/18/2008 | 9/1/2010 | 5/26/2010 | 5/27/2010 | Member | 1251 NW Briarcliff Parkway Suite 700 Kansas City, MO 64116 | 816-285-6403 | Proprietary |
| TradeKing, LLC | 10/15/2009 | 11/15/2010 | NA | NA | Member | 888 E. Las Olas Boulevard Suite 300 Fort Lauderdale, FL 33301 | 561-271-9290 | Agency |
| TradeStation Securities, Inc. | 8/18/2008 | 9/1/2010 | 5/25/2010 | 5/25/2010 | Member | 8050 SW 10th Street Suite 2000 Plantation, FL 33324 | 954-652-7856 | Market Maker |
| TRC Helepolis, Ltd. | 12/11/2009 | NA | NA | NA | Sponsored Participant | 377 Broadway 11th Floor New York, NY 10013 | 646-472-1792 | Proprietary |
| Tripoint Global Equities, LLC | 6/15/2011 | NA | NA | NA | Member | 130 West 42nd Street 10th Floor New York, NY 10036 | 917-512-0822 | Proprietary |
| Tudor Pickering Holt & Co. Securities, Inc. | 8/18/2008 | 10/17/2011 | NA | NA | Member | 1111 Bagby Suite 4900 Houston, TX 77002 | 713-333-2976 | Agency |
| Two Sigma Investments, LLC | 9/1/2009 | NA | NA | NA | Sponsored Participant | 100 Avenue of the Americas 4th Floor New York, NY 10013 | 212-775-6678 | Proprietary |
| Two Sigma Partners Master Fund, Ltd. | 3/2/2009 | NA | NA | NA | Sponsored Participant | 100 Avenue of the Americas 4th Floor New York, NY 10013 | 212-775-6678 | Proprietary |
| Two Sigma Securities, LLC | 10/1/2009 | 10/5/2010 | 5/27/2010 | 5/27/2010 | Member | 100 Avenue of the Americas 4th Floor New York, NY 10013 | 646-292-6643 | Proprietary |
| Two Sigma Securities, LLC | 7/1/2009 | NA | NA | NA | Sponsored Participant | 100 Avenue of the Americas 4th Floor New York, NY 10013 | 646-292-6643 | Proprietary |
| UBS Securities, LLC | 10/15/2008 | 10/1/2010 | 4/12/2010 | 4/12/2010 | Member | 1285 Avenue of the Americas New York, NY 10019 | 203-719-3275 | Full Service |
| Ustocktrade Securities, Inc. | 4/17/2015 | NA | NA | NA | Member | 275 Grove Street Suite 2-400 Newton, MA 02466 | 617-340-3041 | Proprietary |
| Vandham Securities Corp. | 8/18/2008 | NA | NA | NA | Member | 50 Tice Boulevard Woodcliff, NJ 07677 | 201-782-3300 | Agency |
| ViewTrade Securities, Inc. | 8/18/2008 | 11/15/2010 | 6/10/2010 | 6/10/2010 | Member | 7280 W. Palmetto Park Road Suite 105 Boca Raton, FL 33433 | 561-620-0306 | Agency |
| Virtu Financial BD, LLC | 11/17/2008 | 10/7/2010 | 5/27/2010 | 5/27/2010 | Member | 645 Madison Avenue 16th Floor New York, NY 10022 | 212-418-0118 | Proprietary |
| Virtu Financial Capital Markets, LLC | 8/18/2008 | 9/1/2010 | 5/25/2010 | 5/27/2010 | Member | 307 Camp Craft Road West Lake Hills, TX 78746 | 310-651-9757 | Proprietary |
| Vision Financial Markets, LLC | 4/1/2009 | 11/15/2010 | 7/13/2012 | 7/13/2012 | Member | 4 High Ridge Park Suite 100 Stamford, CT 06905 | 203-388-2675 | Retail |
| Volant Liquidity, LLC | 4/15/2011 | NA | 5/27/2010 | 5/27/2010 | Member | 7 World Trade Center Suite 3301 New York, NY 10007 | 646-484-3005 | Proprietary |
| Wall Street Access | 11/3/2008 | 10/17/2011 | 5/27/2010 | 5/27/2010 | Member | 17 Battery Place 11th Floor New York, NY 10004 | 212-232-5602 | Agency |
| Walleye Trading, LLC | 12/1/2008 | 11/12/2010 | NA | NA | Member | 2800 Niagara Lane North Plymouth, MN 55447 | 952-345-5226 | Market Maker |
| Wedbush Securities, Inc. | 8/18/2008 | 9/1/2010 | 5/27/2010 | 5/27/2010 | Member | 1000 Wilshire Boulevard #900 Business Conduct Los Angeles, CA 90017 | 213-688-4575 | Market Maker |
| Weeden & Co, LP | 8/26/2008 | 10/19/2010 | NA | NA | Member | 145 Mason Street Greenwich, CT 06830 | 203-861-7600 | Full Service |
| Wells Fargo Prime Services, LLC | 10/23/2008 | 5/16/2011 | 5/26/2010 | 5/26/2010 | Member | 45 Fremont Street 30th Floor San Francisco, CA 94105 | 415-848-4056 | Market Maker |
| Wells Fargo Securities, LLC | 8/18/2008 | 10/11/2010 | 6/9/2010 | 6/9/2010 | Member | 550 South Tryon Street, 6th Floor D1086-060 Charlotte, NC 28202 | 212-214-6458 | Agency |
| Western International Securities, Inc. | 8/18/2008 | 11/15/2010 | NA | NA | Member | 70 South Lake Avenue 7th Floor Pasadena, CA 91101 | 626-710-3110 | Market Maker |
| WhoTrades, Inc. | 8/15/2013 | 8/15/2013 | 8/15/2014 | 8/15/2014 | Member | 17 State Street 7th Floor New York, NY 10004 | 646-346-1000 | Retail |
| Williams Trading, LLC | 10/23/2008 | NA | NA | NA | Member | 450 Post Road East Suite 120 Westport, CT 06880 | 203-353-7635 | Agency |
| Wolverine Execution Services LLC | 8/18/2008 | 10/19/2010 | 5/14/2010 | 5/14/2010 | Member | 175 West Jackson Boulevard Suite 200 Chicago, IL 60604 | 312-884-3736 | Market Maker |
| Wolverine Trading, LLC | 10/3/2011 | NA | NA | NA | Member | 175 West Jackson Boulevard Suite 200 Chicago, IL 60604 | 312-884-3753 | Proprietary / Market Maker |
| Xambala Capital, LLC | 2/15/2012 | 2/15/2012 | 2/17/2012 | 2/17/2012 | Member | 640 W. California Avenue Suite 220 Sunnyvale, CA 94086 | 408-990-1942 | Proprietary |