

Form 1 Page 1 Execution Page	UNITED STATES SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549 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	Date filed (MM/DD/YY): 12/20/19	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: MIAX Emerald, LLC
 2. Provide the applicant's primary street address (Do not use a P.O. Box): 7 Roszel Road, Suite 1A, 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, EVP, General Counsel & Corporate Secretary
609-897-7315
 6. Provide the name and address of counsel for the applicant:
Barbara J. Comly, EVP, General Counsel & Corporate Secretary
MIAX Emerald, LLC
7 Roszel Road, Suite 1A
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): 01/30/18 (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.

SEC
Mail Processing
Section
DEC 26 2019
Washington DC
413
Securities and Exchange Commission
Trading and Markets

DEC 26 2019
RECEIVED

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.

MIAX EMERALD, LLC

Date: December 20, 2019

By: Barbara J. Comly
Barbara J. Comly
EVP, General Counsel & Corporate Secretary

Subscribed and sworn before me this 20th day of December, 2019

Jane Post
Jane Post
Notary Public of the State of New Jersey
My Commission Expires October 27, 2024


19004388

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



Barbara J. Comly
General Counsel

7 Roszel Road, Suite 1A
Princeton, New Jersey 08540
T 609 897 7300
F 609 987 2210
bcomly@miami-holdings.com

December 20, 2019

SEC
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DEC 26 2019

Washington DC
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Securities and Exchange Commission
Trading and Markets

DEC 28 2019

RECEIVED

VIA FEDERAL EXPRESS

Jeannette Marshall
Division of Trading and Markets
Office of Market Supervision
Securities and Exchange Commission
100 F. Street, N.E.
Washington, D.C. 20549

Re: **MIAX Emerald, LLC ("Emerald")
Amendment No. 2019-14 to Form 1 Application**

Dear Ms. Marshall:

Enclosed for official filing pursuant to Rule 6a-2(a) are an original and two copies of Amendment No. 2019-14 to the Form 1 Application of Emerald, which includes the following changes:

Exhibit M – Updated Member List

Please do not hesitate to contact me if you have any questions in connection with this matter.

Very truly yours,

Barbara J. Comly
EVP, General Counsel & Corporate Secretary

Enclosures

cc: Marlene Olsen

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 December 20, 2019, including the information set forth in items 1-6 above.

ABN AMRO CLEARING CHICAGO LLC175 West Jackson Blvd., Ste. 2050
Chicago IL 60604

Tele #: (312) 604-8000

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: ClearanceInternational Tele #:

AMS DERIVATIVES B.V.Strawinskylaan 3095
Amsterdam, 1077ZX
Netherlands

Tele #:

Approval Date: 6/17/2019

Emerald Membership Activities:
Registered Market MakerInternational Tele #: +31 20 708 7748

APEX CLEARING CORPORATIONOne Dallas Center
350 N. St. Paul, Suite 1300
Dallas TX 75201

Tele #: (214) 765-1100

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: ClearanceInternational Tele #:

BARCLAYS CAPITAL INC.745 Seventh Avenue
New York NY 10019

Tele #: (212) 526-7000

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: Order Flow/ClearanceInternational Tele #:

BOFA SECURITIES, INC.One Bryant Park
222 Broadway
New York NY 10038

Tele #: (646) 743-2734

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: Order Flow/ClearanceInternational Tele #:

CITADEL SECURITIES LLC131 South Dearborn Street - 32nd Floor
Chicago IL 60603

Tele #: (312) 395-2100

Approval Date: 3/1/2019

Emerald Membership Activities:
All Market Maker Classes/EEM: Order FlowInternational Tele #:

CITIGROUP GLOBAL MARKETS INC.390-388 Greenwich Street
New York NY 10013

Tele #: (212) 816-6000

Approval Date: 5/1/2019

Emerald Membership Activities:
Electronic Exch. Member: Order Flow/ClearanceInternational Tele #:

CREDIT SUISSE SECURITIES (USA) LLC11 Madison Avenue - 24th Floor
New York NY 10010

Tele #: (212) 325-2000

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: Order Flow/ClearanceInternational Tele #:

CUTLER GROUP, LP101 Montgomery Street, Ste. 700
San Francisco CA 94104

Tele #: (415) 293-3956

Approval Date: 3/1/2019

Emerald Membership Activities:
Registered Market Maker/EEM: Order FlowInternational Tele #:

DASH FINANCIAL TECHNOLOGIES LLC

311 S. Wacker Drive, Ste. 1000
Chicago IL 60606

Tele #: (847) 550-1730

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: Order Flow/Clearance

DEUTSCHE BANK SECURITIES INC.

60 Wall Street
New York NY 10005

Tele #: (212) 250-2500

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: Order Flow/Clearance

GLOBAL EXECUTION BROKERS, LP

401 City Avenue, Ste. 200
Bala Cynwyd PA 19004

Tele #: (610) 617-2600

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: Order Flow

GOLDMAN SACHS & CO. LLC

200 West Street
New York NY 10282

Tele #: (212) 902-1000

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: Order Flow/Clearance

GROUP ONE TRADING LP

425 S. Financial Place - Ste. 3400
Chicago IL 60605

Tele #: (312) 347-8864

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: Order Flow

HRT FINANCIAL LLC

4 World Trade Center
150 Greenwich Street - 57th Floor
New York NY 10007

Tele #: (212) 293-1444

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: Order Flow

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

233 South Wacker Drive, Ste. #4300
Chicago IL 60606

Tele #: (312) 244-3300

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:
All Market Maker Classes

INSTINET, LLC

Worldwide Plaza
309 West 49th Street
New York NY 10019

Tele #: (212) 310-9500

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: Order Flow/Clearance

INTERACTIVE BROKERS LLC

One Pickwick Plaza - 2nd Floor
Greenwich CT 06830

Tele #: (203) 618-5710

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:
Electronic Exch. Member: Order Flow/Clearance

J.P. MORGAN SECURITIES LLC383 Madison Avenue
New York NY 10179

Tele #: (201) 595-8471

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

Electronic Exch. Member: Order Flow/Clearance

JANE STREET CAPITAL, LLC250 Vesey Street - 6th Floor
New York NY 10281

Tele #: (646) 759-6000

International Tele #:

Approval Date: 3/8/2019

Emerald Membership Activities:

Electronic Exch. Member: Order Flow

JANE STREET OPTIONS, LLC250 Vesey Street - 6th Floor
New York NY 10281

Tele #: (646) 759-6000

International Tele #:

Approval Date: 3/8/2019

Emerald Membership Activities:

Electronic Exch. Member: Order Flow

JEFFERIES LLC520 Madison Avenue - 11th Floor
New York NY 10022

Tele #: (212) 284-2300

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

Electronic Exch. Member: Order Flow/Clearance

JUMP TRADING, LLC600 West Chicago Avenue, Ste. 825
Chicago IL 60654

Tele #: (312) 205-8900

International Tele #:

Approval Date: 12/9/2019

Emerald Membership Activities:

Registered Market Maker

MATRIX EXECUTIONS, LLC135 S. LaSalle Street, Ste. 300
Chicago IL 60603

Tele #: (312) 334-8000

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

Electronic Exch. Member: Order Flow

MERRILL LYNCH PROFESSIONAL CLEARING CORP.One Bryant Park - 6th Floor
NY1-100-06-01
New York NY 10036

Tele #: (646) 743-1295

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

Electronic Exch. Member: Clearance

MORGAN STANLEY & CO. LLC1585 Broadway
New York NY 10036

Tele #: (212) 761-4000

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

Primary Lead Market Maker & Electronic Exch. Member: Order Flow/Cleara

OPTIVER US LLC130 E. Randolph Street, Ste. 1300
Chicago IL 60601

Tele #: (312) 821-9500

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

All Market Maker Classes

PERSHING LLC

One Pershing Plaza - 10th Fl.
Jersey City NJ 07399

Tele #: (201) 413-2000

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

Electronic Exch. Member: Order Flow/Clearance

SIMPLEX TRADING, LLC

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

Tele #: (312) 360-2440

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

Electronic Exch. Member: Order Flow

SUSQUEHANNA INVESTMENT GROUP

401 City Avenue, Ste. 201
Bala Cynwyd PA 19004

Tele #: (610) 617-2600

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

Lead & Registered Market Maker

SUSQUEHANNA SECURITIES

401 City Avenue, Ste. 220
Bala Cynwyd PA 19004

Tele #: (610) 617-2600

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

All Market Maker Classes

TWO SIGMA SECURITIES, LLC

100 Avenue of the Americas - 2nd Fl.
New York NY 10013

Tele #: (212) 625-5700

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

All Market Maker Classes/EEM: Order Flow

UBS SECURITIES LLC

1285 Avenue of the Americas
New York NY 10019

Tele #: (203) 719-3000

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

Electronic Exch. Member: Order Flow/Clearance

VOLANT EXECUTION, LLC

233 S. Wacker Drive, Ste. 4040
Chicago IL 60606

Tele #: (312) 692-5000

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

Electronic Exch. Member: Order Flow/Clearance

WELLS FARGO SECURITIES, LLC

550 South Tryon Street - 6th Floor
D1086-060
Charlotte NC 28202

Tele #: (704) 715-6133

International Tele #:

Approval Date: 3/6/2019

Emerald Membership Activities:

Electronic Exch. Member: Clearance

WOLVERINE EXECUTION SERVICES, LLC

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

Tele #: (312) 884-4000

International Tele #:

Approval Date: 3/1/2019

Emerald Membership Activities:

Electronic Exch. Member: Order Flow/Clearance

WOLVERINE TRADING, LLC

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

Approval Date: 3/1/2019

Emerald Membership Activities:
All Market Maker Classes

Tele #: (312) 884-3490

International Tele #:

Total Firms 37