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September 15, 2020

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 2020-9 to Form 1 Application**

Dear Ms. Marshall:

Enclosed for official filing pursuant to Rule 6a-2(a) is Amendment 2020-9 to the Form 1 Application of Emerald, which includes the following changes:

Exhibit M – Updated Member Lists

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

Very truly yours,

*Barbara J. Comly*

Barbara J. Comly  
EVP, General Counsel & Corporate Secretary

Enclosures  
cc: Marlene Olsen

Form 1 Page 1 Execution Page	<b>UNITED STATES SECURITIES AND EXCHANGE COMMISSION</b> <b>WASHINGTON, D.C. 20549</b> <b>APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR,</b> <b>REGISTRATION AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION</b> <b>FROM REGISTRATION PURSUANT TO SECTION 5 OF THE EXCHANGE ACT</b>	Date filed (MM/DD/YY):  09/15/2020	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):



20012519

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.

**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: September 15, 2020

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

Subscribed and sworn before me this \_\_\_\_ day of \_\_\_\_\_, 2020.

Based upon relief from Commission Staff and difficulties arising from COVID-19, MIAX Emerald, LLC is making this filing without a notarization.

\_\_\_\_\_  
Notary Public of the State of New Jersey

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

## EXHIBIT M

### **Exhibit Request:**

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

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

### **Response:**

Attached is a list of the members of the Exchange as of September 10, 2020, including the information set forth in items 1-6 above.

**MEMBER FIRMS**

**ABN AMRO CLEARING CHICAGO LLC**

175 West Jackson Blvd., Ste. 2050  
 Chicago IL 60604  
 Tele #: (312) 604-8000

Approval Date: 3/1/2019  
**Membership Activities:**  
 Clearance  
 International Tele #

SEC #: 8-34354  
 CRD #: 14020

**AMS DERIVATIVES B.V.**

Strawinskylaan 3095  
 Amsterdam, 1077ZX  
 Netherlands  
 Tele #:

Approval Date: 6/17/2019  
**Membership Activities:**  
 Registered Market Maker  
 International Tele # +31 20 708 7748

SEC #: 8-69890  
 CRD #: 286507

**APEX CLEARING CORPORATION**

One Dallas Center  
 350 N. St. Paul, Suite 1300  
 Dallas TX 75201  
 Tele #: (214) 765-1100

Approval Date: 3/1/2019  
**Membership Activities:**  
 Clearance  
 International Tele #

SEC #: 8-23522  
 CRD #: 13071

**BARCLAYS CAPITAL INC.**

745 Seventh Avenue  
 New York NY 10019  
 Tele #: (212) 526-7000

Approval Date: 3/1/2019  
**Membership Activities:**  
 Order Entry & Clearance  
 International Tele #

SEC #: 8-41342  
 CRD #: 19714

**BOFA SECURITIES, INC.**

One Bryant Park  
 222 Broadway  
 New York NY 10038  
 Tele #: (646) 743-2734

Approval Date: 3/1/2019  
**Membership Activities:**  
 Order Entry & Clearance  
 International Tele #

SEC #: 8-69787  
 CRD #: 283942

**CITADEL SECURITIES LLC**

131 South Dearborn Street - 32nd Floor  
 Chicago IL 60603  
 Tele #: (312) 395-2100

Approval Date: 3/1/2019  
**Membership Activities:**  
 Primary Lead, Lead, Registered Market Maker & Order Entry  
 International Tele #

SEC #: 8-53574  
 CRD #: 116797

**CITIGROUP GLOBAL MARKETS INC.**

390-388 Greenwich Street  
 New York NY 10013  
 Tele #: (212) 816-6000

Approval Date: 5/1/2019  
**Membership Activities:**  
 Order Entry & Clearance  
 International Tele #

SEC #: 8-8177  
 CRD #: 7059

**CREDIT SUISSE SECURITIES (USA) LLC**

11 Madison Avenue - 24th Floor  
 New York NY 10010  
 Tele #: (212) 325-2000

Approval Date: 3/1/2019  
**Membership Activities:**  
 Order Entry & Clearance  
 International Tele #

SEC #: 8-00422  
 CRD #: 816

**CUTLER GROUP, LP**

101 Montgomery Street, Ste. 700  
 San Francisco CA 94104  
 Tele #: (415) 293-3956

Approval Date: 3/1/2019  
**Membership Activities:**  
 Registered Market Maker & Order Entry  
 International Tele #

SEC #: 8-42415  
 CRD #: 31730

**DASH FINANCIAL TECHNOLOGIES LLC**

311 S. Wacker Drive, Ste. 1000  
Chicago IL 60606  
Tele #: (847) 550-1730

Approval Date: 3/1/2019

SEC #: 8-52503

**Membership Activities:**

CRD #: 104031

Order Entry &amp; Clearance

International Tele #

**GLOBAL EXECUTION BROKERS, LP**

401 City Avenue, Ste. 200  
Bala Cynwyd PA 19004  
Tele #: (610) 617-2600

Approval Date: 3/1/2019

SEC #: 8-65878

**Membership Activities:**

CRD #: 126407

Order Entry

International Tele #

**GOLDMAN SACHS & CO. LLC**

200 West Street  
New York NY 10282  
Tele #: (212) 902-1000

Approval Date: 3/1/2019

SEC #: 8-129

**Membership Activities:**

CRD #: 361

Order Entry &amp; Clearance

International Tele #

**GROUP ONE TRADING LP**

425 S. Financial Place - Ste. 3400  
Chicago IL 60605  
Tele #: (312) 347-8864

Approval Date: 3/1/2019

SEC #: 8-47762

**Membership Activities:**

CRD #: 37484

Order Entry

International Tele #

**HRT FINANCIAL LLC**

4 World Trade Center  
150 Greenwich Street - 57th Floor  
New York NY 10007  
Tele #: (212) 293-1444

Approval Date: 3/1/2019

SEC #: 8-68430

**Membership Activities:**

CRD #: 152144

Order Entry

International Tele #

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

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

Approval Date: 3/1/2019

SEC #: 8-52600

**Membership Activities:**

CRD #: 104143

Primary Lead, Lead &amp; Registered Market Maker

International Tele #

**INSTINET, LLC**

Worldwide Plaza  
309 West 49th Street  
New York NY 10019  
Tele #: (212) 310-9500

Approval Date: 3/1/2019

SEC #: 8-23669

**Membership Activities:**

CRD #: 7897

Order Entry &amp; Clearance

International Tele #

**INTERACTIVE BROKERS LLC**

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

Approval Date: 3/1/2019

SEC #: 8-47257

**Membership Activities:**

CRD #: 36418

Order Entry &amp; Clearance

International Tele #

**J.P. MORGAN SECURITIES LLC**

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

Approval Date: 3/1/2019

SEC #: 8-35008

**Membership Activities:**

CRD #: 79

Order Entry &amp; Clearance

International Tele #

**JANE STREET CAPITAL, LLC**

250 Vesey Street - 6th Floor  
 New York NY 10281  
 Tele #: (646) 759-6000

Approval Date: 3/8/2019

SEC #: 8-52275

**Membership Activities:**

CRD #: 103782

Order Entry  
 International Tele #

**JANE STREET OPTIONS, LLC**

250 Vesey Street - 6th Floor  
 New York NY 10281  
 Tele #: (646) 759-6000

Approval Date: 3/8/2019

SEC #: 8-66813

**Membership Activities:**

CRD #: 134159

Order Entry  
 International Tele #

**JEFFERIES LLC**

520 Madison Avenue - 11th Floor  
 New York NY 10022  
 Tele #: (212) 284-2300

Approval Date: 3/1/2019

SEC #: 8-15074

**Membership Activities:**

CRD #: 2347

Order Entry & Clearance  
 International Tele #

**JUMP TRADING, LLC**

600 West Chicago Avenue, Ste. 600  
 Chicago IL 60654  
 Tele #: (312) 205-8900

Approval Date: 12/9/2019

SEC #: 8-52989

**Membership Activities:**

CRD #: 106124

Registered Market Maker  
 International Tele #

**MATRIX EXECUTIONS, LLC**

135 S. LaSalle Street, Ste. 300  
 Chicago IL 60603  
 Tele #: (312) 334-8000

Approval Date: 3/1/2019

SEC #: 8-48255

**Membership Activities:**

CRD #: 38455

Order Entry  
 International Tele #

**MERRILL LYNCH PROFESSIONAL CLEARING CORP.**

One Bryant Park - 6th Floor  
 NY1-100-06-01  
 New York NY 10036  
 Tele #: (646) 743-1295

Approval Date: 3/1/2019

SEC #: 8-33359

**Membership Activities:**

CRD #: 16139

Clearance  
 International Tele #

**MORGAN STANLEY & CO. LLC**

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

Approval Date: 3/1/2019

SEC #: 8-15869

**Membership Activities:**

CRD #: 8209

All Market Maker & Electronic Exchange Options Memberships  
 International Tele #

**OPTIVER US LLC**

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

Approval Date: 3/1/2019

SEC #: 8-66083

**Membership Activities:**

CRD #: 128030

Primary Lead, Lead & Registered Market Maker  
 International Tele #

**PERSHING LLC**

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

Approval Date: 3/1/2019

SEC #: 8-17574

**Membership Activities:**

CRD #: 7560

Order Entry & Clearance  
 International Tele #

**SIMPLEX TRADING, LLC**

230 So. LaSalle St., Ste. 4-100  
Chicago IL 60604  
Tele #: (312) 360-2440

Approval Date: 3/1/2019  
**Membership Activities:**  
Order Entry  
International Tele #

SEC #: 8-68556  
CRD #: 153585

**SUSQUEHANNA INVESTMENT GROUP**

401 City Avenue, Ste. 201  
Bala Cynwyd PA 19004  
Tele #: (610) 617-2600

Approval Date: 3/1/2019  
**Membership Activities:**  
Lead & Registered Market Maker  
International Tele #

SEC #: 8-37520  
CRD #: 33875

**SUSQUEHANNA SECURITIES, LLC**

401 City Avenue, Ste. 220  
Bala Cynwyd PA 19004  
Tele #: (610) 617-2600

Approval Date: 3/1/2019  
**Membership Activities:**  
Primary Lead, Lead & Registered Market Maker  
International Tele #

SEC #: 8-47034  
CRD #: 35874

**TWO SIGMA SECURITIES, LLC**

100 Avenue of the Americas - 2nd Fl.  
New York NY 10013  
Tele #: (212) 625-5700

Approval Date: 3/1/2019  
**Membership Activities:**  
Primary Lead, Lead, Registered Market Maker & Order Entry  
International Tele #

SEC #: 8-68090  
CRD #: 148960

**UBS SECURITIES LLC**

1285 Avenue of the Americas  
New York NY 10019  
Tele #: (203) 719-3000

Approval Date: 3/1/2019  
**Membership Activities:**  
Order Entry & Clearance  
International Tele #

SEC #: 8-22651  
CRD #: 7654

**VOLANT EXECUTION, LLC**

233 S. Wacker Drive, Ste. 4040  
Chicago IL 60606  
Tele #: (312) 692-5000

Approval Date: 3/1/2019  
**Membership Activities:**  
Order Entry & Clearance  
International Tele #

SEC #: 8-66826  
CRD #: 134284

**WELLS FARGO SECURITIES, LLC**

550 South Tryon Street - 6th Floor  
D1086-060  
Charlotte NC 28202  
Tele #: (704) 715-6133

Approval Date: 3/6/2019  
**Membership Activities:**  
Order Entry & Clearance  
International Tele #

SEC #: 8-65876  
CRD #: 126292

**WOLVERINE EXECUTION SERVICES, LLC**

175 W. Jackson Blvd., Ste. 200  
Chicago IL 60604  
Tele #: (312) 884-4000

Approval Date: 3/1/2019  
**Membership Activities:**  
Order Entry & Clearance  
International Tele #

SEC #: 8-65336  
CRD #: 120719

**WOLVERINE TRADING, LLC**

175 W. Jackson Blvd., Ste. 200  
Chicago IL 60604  
Tele #: (312) 884-3400

Approval Date: 3/1/2019  
**Membership Activities:**  
Primary Lead, Lead & Registered Market Maker  
International Tele #

SEC #: 8-47484  
CRD #: 36848

Total Firms 36