



Barbara J. Comly  
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October 5, 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 2020-11 to Form 1 Application**

Dear Ms. Marshall:

Enclosed for official filing pursuant to Rule 6a-2(a) is Amendment 2020-11 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*

Barbara J. Comly  
EVP, General Counsel & Corporate Secretary

Enclosures

cc: Marlene Olsen

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.

**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: October 5, 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

## EXHIBIT M

### **Exhibit Request:**

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

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

### **Response:**

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

ABN AMRO CLEARING CHICAGO LLC

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

Approval Dat 3/1/2019  
Membership Activities:  
Clearance  
International Tele

SEC #: 8-34354  
CRD #: 14020

AMS DERIVATIVES B.V.

Strawinskylaan 3095  
Amsterdam, 1077ZX  
Netherlands  
Tele #:

Approval Dat 6/17/2019  
Membership Activities:  
Registered Market Maker  
International Tele +31 20 708 774

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 Dat 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 Dat 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 Dat 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 Dat 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 Dat 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 Dat 3/1/2019  
Membership Activities:  
Order Entry & Clearance  
International Tele

SEC #: 8-00422  
CRD #: 816

DASH FINANCIAL TECHNOLOGIES LLC

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

Approval Dat 3/1/2019  
Membership Activities:  
Order Entry & Clearance  
International Tele

SEC #: 8-52503  
CRD #: 104031

## GLOBAL EXECUTION BROKERS, LP

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

Approval Dat 3/1/2019 SEC #: 8-65878  
Membership Activities: CRD #: 126407  
Order Entry  
International Tele

## GOLDMAN SACHS &amp; CO. LLC

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

Approval Dat 3/1/2019 SEC #: 8-129  
Membership Activities: CRD #: 361  
Order Entry & Clearance  
International Tele

## GROUP ONE TRADING LP

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

Approval Dat 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 Dat 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 Dat 3/1/2019 SEC #: 8-52600  
Membership Activities: CRD #: 104143  
Primary Lead, Lead & Registered Market Maker  
International Tele

## INSTINET, LLC

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

Approval Dat 3/1/2019 SEC #: 8-23669  
Membership Activities: CRD #: 7897  
Order Entry & Clearance  
International Tele

## INTERACTIVE BROKERS LLC

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

Approval Dat 3/1/2019 SEC #: 8-47257  
Membership Activities: CRD #: 36418  
Order Entry & Clearance  
International Tele

## J.P. MORGAN SECURITIES LLC

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

Approval Dat 3/1/2019 SEC #: 8-35008  
Membership Activities: CRD #: 79  
Order Entry & Clearance  
International Tele

## JANE STREET CAPITAL, LLC

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

Approval Dat 3/8/2019 SEC #: 8-52275  
Membership Activities: CRD #: 103782  
Order Entry  
International Tele

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JANE STREET OPTIONS, LLC

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

Approval Dat 3/8/2019  
Membership Activities:  
Order Entry  
International Tele

SEC #: 8-66813  
CRD #: 134159

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JEFFERIES LLC

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

Approval Dat 3/1/2019  
Membership Activities:  
Order Entry & Clearance  
International Tele

SEC #: 8-15074  
CRD #: 2347

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JUMP TRADING, LLC

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

Approval Dat 12/9/2019  
Membership Activities:  
Registered Market Maker  
International Tele

SEC #: 8-52989  
CRD #: 106124

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MATRIX EXECUTIONS, LLC

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

Approval Dat 3/1/2019  
Membership Activities:  
Order Entry  
International Tele

SEC #: 8-48255  
CRD #: 38455

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MERRILL LYNCH PROFESSIONAL CLEARING CORP.

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

Approval Dat 3/1/2019  
Membership Activities:  
Clearance  
International Tele

SEC #: 8-33359  
CRD #: 16139

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MORGAN STANLEY & CO. LLC

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

Approval Dat 3/1/2019  
Membership Activities:  
All Market Maker & Electronic Exchange Options Memberships  
International Tele

SEC #: 8-15869  
CRD #: 8209

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OPTIVER US LLC

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

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

SEC #: 8-66083  
CRD #: 128030

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PERSHING LLC

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

Approval Dat 3/1/2019  
Membership Activities:  
Order Entry & Clearance  
International Tele

SEC #: 8-17574  
CRD #: 7560

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SIMPLEX TRADING, LLC

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

Approval Dat 3/1/2019  
Membership Activities:  
Order Entry  
International Tele

SEC #: 8-68556  
CRD #: 153585

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**SUSQUEHANNA INVESTMENT GROUP**

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

Approval Dat 3/1/2019  
Membership Activities:  
Lead & Registered Market Maker  
International Tele [REDACTED]

SEC #: 8-37520  
CRD #: 33875

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**SUSQUEHANNA SECURITIES, LLC**

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

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

SEC #: 8-47034  
CRD #: 35874

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**TWO SIGMA SECURITIES, LLC**

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

Approval Dat 3/1/2019  
Membership Activities:  
Primary Lead, Lead, Registered Market Maker & Order Entry  
International Tele [REDACTED]

SEC #: 8-68090  
CRD #: 148960

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**UBS SECURITIES LLC**

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

Approval Dat 3/1/2019  
Membership Activities:  
Order Entry & Clearance  
International Tele

SEC #: 8-22651  
CRD #: 7654

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**VOLANT EXECUTION, LLC**

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

Approval Dat 3/1/2019  
Membership Activities:  
Order Entry & Clearance  
International Tele [REDACTED]

SEC #: 8-66826  
CRD #: 134284

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**WELLS FARGO SECURITIES, LLC**

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

Approval Dat 3/6/2019  
Membership Activities:  
Order Entry & Clearance  
International Tele

SEC #: 8-65876  
CRD #: 126292

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**WOLVERINE EXECUTION SERVICES, LLC**

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

Approval Dat 3/1/2019  
Membership Activities:  
Order Entry & Clearance  
International Tele [REDACTED]

SEC #: 8-65336  
CRD #: 120719

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**WOLVERINE TRADING, LLC**

175 W. Jackson Blvd., Ste. 200  
Chicago IL 60604  
Tele #: (312) 884-3490

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

SEC #: 8-47484  
CRD #: 36848

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Total Firms **35**