



Barbara J. Comly  
General Counsel

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December 21, 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 PEARL, LLC (“PEARL”)  
Amendment 2020-17 to Form 1 Application**

Dear Ms. Marshall:

Enclosed for official filing pursuant to Rule 6a-2(a) is Amendment 2020-17 to the Form 1 Application of PEARL, which includes the following changes:

Exhibit C – Updated Ownership Information for Bermuda Stock Exchange  
Exhibit M – Updated Member List for MIAX PEARL Equities

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):  12/21/2020	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 PEARL, 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 PEARL, 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):



20014717

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): 02/11/16                      (b) State/Country of formation: Delaware
- (c) Statute under which applicant was organized: Delaware Limited Liability Company Act (6 Del. C. § 18-101, 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 PEARL, LLC

Date: December 21, 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 PEARL, 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 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:

#### **A. MIAMI INTERNATIONAL HOLDINGS, INC.**

1. *Name:* Miami International Holdings, Inc.  
*Address:* 7 Roszel Road, Suite 1A, Princeton, New Jersey 08540
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware General Corporation Law (8 Del. C. § 1-101, et seq.), on November 14, 2007.
4. *Brief description of nature and extent of affiliation:* MIAX PEARL, LLC is a wholly-owned subsidiary of Miami International Holdings, Inc. (“MIH”).

5. *Brief description of business or functions:* Miami International Holdings, Inc. (“Miami Holdings”) is a holding company which holds 100% of the equity of Miami International Securities Exchange, LLC, MIAx PEARL, LLC, Miami International Technologies, LLC, MIAx Global, LLC, MIAx Emerald, LLC, MIAx Futures, LLC, MIAx Products, LLC, M 44 Holdings, LLC, The Bermuda Stock Exchange, and M 402 Holdings, LLC, the sole member and owner of 100% of the equity and voting securities of Minneapolis Grain Exchange, LLC. Miami International Holdings, Inc. is the entity through which the ultimate owners of the applicant indirectly hold their ownership interest in the applicant and its affiliates.
6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Amended and Restated Certificate of Incorporation dated October 16, 2015 is attached.
8. *A copy of existing by-laws or corresponding rules or instruments:* The Amended and Restated By-Laws dated June 27, 2015 are attached.
9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

**Officers of Miami International Holdings, Inc.**

The following persons are the officers of Miami International Holdings, Inc.:

Name	Title
Thomas P. Gallagher	Chairman and Chief Executive Officer
Douglas M. Schafer, Jr.	Chief Information Officer and Executive Vice President
Barbara Comly	Executive Vice President, General Counsel and Corporate Secretary
Lance Emmons	Executive Vice President and Chief Financial Officer
Edward Deitzel	Executive Vice President and Chief Regulatory Officer
Mark Wetjen	Executive Vice President, Futures and Innovative Products and Executive Regulatory Liaison Officer
Randy Foster	Senior Vice President – Business Systems Development
Harish Jayabalan	Senior Vice President – Chief Risk Officer and Chief Information Security Officer
Matthew Rotella	Senior Vice President – Chief Technology Officer
Joseph W. Ferraro III	Senior Vice President – Deputy General Counsel
Deborah Carroll	Senior Vice President – Associate General Counsel
Shawn Hughes	Senior Vice President – Project Management
Amy Neiley	Senior Vice President – Trading Operations and Listings
Roli Bhotika	Vice President – Head of Business Development
Rodney Hester	Vice President – Systems Infrastructure

<b>Name</b>	<b>Title</b>
James O'Neil	Vice President and Director of Physical Security and Safety
Vinay Rao	Vice President – Trading Systems Development
Siddharth Sahoo	Vice President – Trading Systems Development
Christopher Solgan	Vice President – Senior Counsel
Tia Toms	Vice President – Administration
Gregory Ziegler	Vice President – Senior Counsel
Charles Blades	Assistant Vice President - Controller
Dimitriy Kotov	Assistant Vice President – Associate Counsel

The officers of Miami International Holdings, Inc. serve until their successors are appointed in accordance with the By-Laws of Miami International Holdings, Inc. Officers of Miami International Holdings, Inc. serve at the direction of the Board of Directors.

**Directors of Miami International Holdings, Inc.**

The following persons are the directors of Miami International Holdings, Inc.:

<b>Name</b>
Thomas P. Gallagher (Chairman)
Talal Jassim Al-Bahar
Abdulwahab Ahmad Al-Nakib
Sayer B. Al-Sayer
Michael P. Ameen
Albert M. Barro, Jr.
John Beckelman
Barry J. Belmont
Ricardo Blach
Christopher Brady
Khaled Magdy El-Marsafy
William W. Hopkins
Thomas J. Kelly, Jr.
Paul Kotos
Jack G. Mondel
William J. O'Brien III
Robert D. Prunetti
Mark F. Raymond
Douglas M. Schafer, Jr.
Paul V. Stahlin
J. Gray Teekell
Christopher L. Whittington

Name
Jassem Hassan Zainal

Directors of Miami International Holdings, Inc. serve one year terms.

**Audit Committee of Miami International Holdings, Inc.**

The following persons are members of the Audit Committee of Miami International Holdings, Inc.:

Name
Paul V. Stahlin (Chairman)
Michael P. Ameen
Khaled Magdy El-Marsafy
Paul Kotos
Robert D. Prunetti

**Compensation Committee of Miami International Holdings, Inc.**

The following persons are members of the Compensation Committee of Miami International Holdings, Inc.:

Name
Talal Jassim Al-Bahar (Chairman)
Christopher D. Brady
Thomas J. Kelly
Mark F. Raymond
J. Gray Teekell

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:* Not applicable.

**B. MIAMI INTERNATIONAL SECURITIES EXCHANGE, LLC**

1. *Name:* Miami International Securities Exchange, LLC  
*Address:* 7 Roszel Road, Suite 1A, Princeton, New Jersey 08540
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on September 10, 2007.

4. *Brief description of nature and extent of affiliation:* Miami International Securities Exchange, LLC is wholly-owned by Miami International Holdings, Inc., which is the applicant's 100% owner.
5. *Brief description of business or functions:* Miami International Securities Exchange, LLC ("MIAX") is registered as a National Securities Exchange under Section 6 of the Securities Exchange Act of 1934, as amended. MIAX operates a fully electronic options trading platform.
6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Amended and Restated Certificate of Formation dated November 12, 2020 is attached.
8. *A copy of existing by-laws or corresponding rules or instruments:* The Third Amended and Restated Limited Liability Company Agreement dated November 12, 2020, and Amended and Restated By-Laws dated November 12, 2020 are attached.
9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

**Officers of Miami International Securities Exchange, LLC**

The following persons are the officers of Miami International Securities Exchange, LLC:

<b>Name</b>	<b>Title</b>
Thomas P. Gallagher	Chairman and Chief Executive Officer
Douglas M. Schafer, Jr.	Chief Information Officer and Executive Vice President
Barbara Comly	Executive Vice President, General Counsel and Corporate Secretary
Lance Emmons	Executive Vice President and Chief Financial Officer
Edward Deitzel	Executive Vice President, Chief Regulatory Officer and Chief Compliance Officer
Shelly Brown	Executive Vice President – Strategic Planning and Business Development
John Smollen	Executive Vice President – Head of Exchange Traded Products and Strategic Relations
Randy Foster	Senior Vice President – Business Systems Development
Harish Jayabalan	Senior Vice President – Chief Risk Officer and Chief Information Security Officer
Matthew Rotella	Senior Vice President – Chief Technology Officer
Joseph W. Ferraro III	Senior Vice President – Deputy General Counsel
Deborah Carroll	Senior Vice President, Associate General Counsel and Assistant Corporate Secretary
Joseph S. Bracco	Senior Vice President – Head of Sales

<b>Name</b>	<b>Title</b>
Shawn Hughes	Senior Vice President – Project Management
Amy Neiley	Senior Vice President – Trading Operations and Listings
Roli Bhotika	Vice President – Head of Business Development
Lawrence O’Leary	Vice President – Regulatory Oversight
Laurence Gardner	Vice President – Regulatory Operations
Rodney Hester	Vice President – Systems Infrastructure
James O’Neil	Vice President and Director of Physical Security and Safety
Vinay Rao	Vice President – Trading Systems Development
Siddharth Sahoo	Vice President – Trading Systems Development
Christopher Solgan	Vice President – Senior Counsel
Christopher Swisher	Vice President – Market Surveillance
Tia Toms	Vice President – Administration
Gregory Ziegler	Vice President – Senior Counsel
Charles Blades	Assistant Vice President - Controller
Dimitriy Kotov	Assistant Vice President – Associate Counsel

The officers of Miami International Securities Exchange, LLC serve until their successors are appointed in accordance with the By-Laws of Miami International Securities Exchange, LLC. Officers of Miami International Securities Exchange, LLC will serve at the direction of the Board of Directors.

**Directors of Miami International Securities Exchange, LLC**

The following persons are the directors and Board observers of Miami International Securities Exchange, LLC:

<b>Directors</b>
Thomas P. Gallagher
Talal Jassim Al-Bahar
Michael P. Ameen
Lindsay L. Burbage
Robert Castrignano
Marianne Deane
John DiBacco, Jr.
David Dooman
Kurt M. Eckert
Leslie Florio
Lawrence E. Jaffe
Paul Jiganti

John A. Kinahan
John E. McCormac
Miguel Moratiel
William J. O'Brien IV
Robert D. Prunetti
Joseph Sellitto
Cynthia Schwarzkopf
J. Gray Teekell
<b>Observers</b>
Sanjiv Prasad
Lawrence Tanzman

**Committees of Miami International Securities Exchange, LLC**

The standing committees of the Board and the persons appointed to sit on the standing committees are as follows:

<b>Audit Committee</b>
Robert D. Prunetti (Chair)
Michael P. Ameen
John E. McCormac

<b>Compensation Committee</b>
J. Gray Teekell (Chair)
Robert D. Prunetti
Cynthia Schwarzkopf

<b>Regulatory Oversight Committee</b>
Lindsay L. Burbage (Chair)
Leslie Florio
Lawrence E. Jaffe

<b>Appeals Committee</b>
Lawrence Jaffe (Chair)
Robert Castrignano
Kurt M. Eckert

<b>Technology Committee</b>
Leslie Florio (Chair)
Robert Castrignano
Marianne Deane
David Dooman
Kurt M. Eckert
John A. Kinahan
John E. McCormac
William J. O'Brien IV
J. Gray Teekell

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:* Not applicable.

### **C. MIAMI INTERNATIONAL TECHNOLOGIES, LLC**

1. *Name:* Miami International Technologies, LLC  
*Address:* 7 Roszel Road, Suite 1A, Princeton, New Jersey 08540
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on May 12, 2010.
4. *Brief description of nature and extent of affiliation:* Miami International Technologies, LLC ("MIAX Technologies") is wholly-owned by Miami International Holdings, Inc., which is the applicant's 100% owner.
5. *Brief description of business or functions:* MIAX Technologies engages in the sale and licensing of trading and information technology to unrelated third parties.
6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Amended and Restated Certificate of Formation dated June 29, 2011 is attached.
8. *A copy of existing by-laws or corresponding rules or instruments:* The First Amended and Restated Limited Liability Company Agreement dated May 20, 2011 is attached.

9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

**Officers of Miami International Technologies, LLC**

The following persons are the officers of Miami International Technologies, LLC:

<b>Name</b>	<b>Title</b>
Thomas P. Gallagher	Chairman and Chief Executive Officer
Douglas M. Schafer, Jr.	President and Chief Information Officer
Barbara Comly	Executive Vice President, General Counsel and Corporate Secretary
Lance Emmons	Executive Vice President and Chief Financial Officer
Matthew Rotella	Senior Vice President – Chief Technology Officer
Randy Foster	Senior Vice President – Business Systems Development
Deborah Carroll	Senior Vice President – Associate General Counsel
Rodney Hester	Vice President – Systems Infrastructure
Harish Jayabalan	Vice President – Technical Support and Product Specialist
James O’Neil	Vice President and Director of Physical Security and Safety
Tia Toms	Vice President – Administration
Charles Blades	Assistant Vice President - Controller

**Directors of Miami International Technologies, LLC**

The following persons are the directors of Miami International Technologies, LLC:

<b>Name</b>
Thomas P. Gallagher

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:* Not applicable.

**D. MIAX GLOBAL, LLC**

- Name:* MIAX Global, LLC  
*Address:* 7 Roszel Road, Suite 1A, Princeton, New Jersey 08540
- Form of organization:* Limited Liability Company.
- Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Act (6 Del. C. § 18-101, et seq.), on June 30, 2015.

4. *Brief description of nature and extent of affiliation:* MIAX Global, LLC (“MIAX Global”) is wholly-owned by Miami International Holdings, Inc., which is the applicant's 100% owner.
5. *Brief description of business or functions:* MIAX Global focuses on the company’s trading, technology and other projects primarily based outside the United States.
6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Certificate of Formation dated June 30, 2015 is attached.
8. *A copy of existing by-laws or corresponding rules or instruments:* The Limited Liability Company Agreement dated June 30, 2015 is attached.
9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

**Officers of MIAX Global, LLC**

The following persons are the officers of MIAX Global, LLC:

Name	Title
Thomas P. Gallagher	Chairman and Chief Executive Officer
Barbara Comly	Executive Vice President, General Counsel and Corporate Secretary
Douglas M. Schafer, Jr.	Chief Information Officer and Executive Vice President
Lance Emmons	Executive Vice President and Chief Financial Officer
Gregory A. Wojciechowski	President

**Directors of MIAX Global, LLC**

The following persons are the directors of MIAX Global, LLC:

Name
Thomas P. Gallagher

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:* Not applicable.

## E. MIAX FUTURES, LLC

1. *Name:* MIAX Futures, LLC  
*Address:* 7 Roszel Road, Suite 1A, Princeton, New Jersey 08540
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on November 30, 2007.
4. *Brief description of nature and extent of affiliation:* MIAX Futures, LLC ("MIAX Futures") is wholly-owned by Miami International Holdings, Inc., which is the applicant's 100% owner.
5. *Brief description of business or functions:* MIAX Futures is not yet active. Miami International Holdings, Inc. may develop MIAX Futures as a futures exchange.
6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Amended and Restated Certificate of Formation is attached.
8. *A copy of existing by-laws or corresponding rules or instruments:* The First Amended and Restated Limited Liability Company Agreement is attached.
9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

### **Officers of MIAX Futures, LLC**

The following persons are the officers of MIAX Futures, LLC:

Name	Title
Thomas P. Gallagher	Chairman
Mark Wetjen	Chief Executive Officer
Douglas M. Schafer, Jr.	Chief Information Officer and Executive Vice President
Barbara Comly	Executive Vice President, General Counsel and Corporate Secretary
Lance Emmons	Executive Vice President and Chief Financial Officer

### **Directors of MIAX Futures, LLC**

The following persons are the directors of MIAX Futures, LLC:

Name
Thomas P. Gallagher

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:* Not applicable.

## **F. MIAX EMERALD, LLC**

1. *Name:* MIAX Emerald, LLC  
*Address:* 7 Roszel Road, Suite 1A, Princeton, New Jersey 08540
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Act (6 Del. C. § 18-101, et seq.), on January 30, 2018.
4. *Brief description of nature and extent of affiliation:* MIAX Emerald, LLC ("MIAX Emerald") is wholly-owned by Miami International Holdings, Inc., which is the applicant's 100% owner.
5. *Brief description of business or functions:* MIAX Emerald is registered as a National Securities Exchange under Section 6 of the Securities Exchange Act of 1934, as amended. MIAX Emerald operates a fully electronic options trading platform.
6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Amended and Restated Certificate of Formation dated November 12, 2020 is attached.
8. *A copy of existing by-laws or corresponding rules or instruments:* The Second Amended and Restated Limited Liability Company Agreement dated November 12, 2020 and Amended and Restated By-Laws dated November 12, 2020 are attached.
9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

### **Officers of MIAX Emerald, LLC**

The following persons are the officers of MIAX Emerald, LLC:

<b>Name</b>	<b>Title</b>
Thomas P. Gallagher	Chairman and Chief Executive Officer
Douglas M. Schafer, Jr.	Chief Information Officer and Executive Vice President
Barbara Comly	Executive Vice President, General Counsel and Corporate Secretary
Lance Emmons	Executive Vice President and Chief Financial Officer
Edward Deitzel	Executive Vice President, Chief Regulatory Officer and Chief Compliance Officer
Shelly Brown	Executive Vice President – Strategic Planning and Business Development

<b>Name</b>	<b>Title</b>
John Smollen	Executive Vice President – Head of Exchange Traded Products and Strategic Relations
Randy Foster	Senior Vice President – Business Systems Development
Harish Jayabalan	Senior Vice President – Chief Risk Officer & Chief Information Security Officer
Matthew Rotella	Senior Vice President – Chief Technology Officer
Joseph W. Ferraro III	Senior Vice President – Deputy General Counsel
Deborah Carroll	Senior Vice President, Associate General Counsel and Assistant Corporate Secretary
Joseph S. Bracco	Senior Vice President – Head of Sales
Shawn Hughes	Senior Vice President – Project Management
Amy Neiley	Senior Vice President – Trading Operations and Listings
Roli Bhotika	Vice President – Head of Business Development
Rodney Hester	Vice President – Systems Infrastructure
Lawrence O’Leary	Vice President – Regulatory Oversight
Laurence Gardner	Vice President – Regulatory Operations
James O’Neil	Vice President and Director of Physical Security and Safety
Vinay Rao	Vice President – Trading Systems Development
Siddharth Sahoo	Vice President – Trading Systems Development
Christopher Solgan	Vice President – Senior Counsel
Christopher Swisher	Vice President – Market Surveillance
Tia Toms	Vice President – Administration
Gregory Ziegler	Vice President – Senior Counsel
Charles Blades	Assistant Vice President - Controller
Dimitriy Kotov	Assistant Vice President – Associate Counsel

The officers of MIAX Emerald, LLC serve until their successors are appointed in accordance with the By-Laws of MIAX Emerald, LLC. Officers of MIAX Emerald, LLC will serve at the direction of the Board of Directors.

**Directors of MIAX Emerald, LLC**

The following persons are the directors of MIAX Emerald, LLC:

<b>Name</b>
Thomas P. Gallagher
Lindsay L. Burbage
Marianne Deane
Kurt M. Eckert
David S. Fleming

Leslie Florio
Kimberly M. Guadagno
Paul Jiganti
Michael Juneman
Joseph M. Kyrillos Jr.
John E. McCormac
Robert D. Prunetti

**Committees of MIAX Emerald, LLC**

The standing committees of the Board and the persons appointed to sit on the standing committees are as follows:

<b>Audit Committee</b>
Robert D. Prunetti (Chair)
Joseph M. Kyrillos Jr.
John E. McCormac

<b>Compensation Committee</b>
Robert D. Prunetti (Chair)
Marianne Deane
Joseph M. Kyrillos Jr.

<b>Regulatory Oversight Committee</b>
Lindsay L. Burbage (Chair)
Leslie Florio
Kimberly M. Guadagno

<b>Appeals Committee</b>
Marianne Deane (Chair)
Kurt M. Eckert
Paul Jiganti

<b>Technology Committee</b>
Leslie Florio (Chair)
Marianne Deane
John E. McCormac

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:* Not applicable.

**G. MIAX PRODUCTS, LLC**

1. *Name:* MIAX Products, LLC  
*Address:* 7 Roszel Road, Suite 1A, Princeton, New Jersey 08540
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Illinois, Illinois Limited Liability Company Act, 805 ILCS 180/, on January 25, 2019.
4. *Brief description of nature and extent of affiliation:* MIAX Products, LLC ("MIAX Products") is wholly-owned by Miami International Holdings, Inc., which is the applicant's 100% owner.
5. *Brief description of business or functions:* Development of financial products.
6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Articles of Organization dated January 25, 2019 are attached.
8. *A copy of existing by-laws or corresponding rules or instruments:* The Limited Liability Company Agreement dated January 25, 2019 is attached.
9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

**Officers of MIAX Products, LLC**

The following persons are the officers of MIAX Products, LLC:

<b>Name</b>	<b>Title</b>
Thomas P. Gallagher	Chairman and Chief Executive Officer
Barbara Comly	Executive Vice President, General Counsel and Corporate Secretary
Douglas M. Schafer, Jr.	Chief Information Officer and Executive Vice President

**Directors of MIAX Products, LLC**

The following persons are the directors of MIAX Products, LLC:

<b>Name</b>
Thomas P. Gallagher

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:* Not applicable.

## **H. M 44 HOLDINGS, LLC**

1. *Name:* M 44 Holdings, LLC  
*Address:* 7 Roszel Road, Suite 1A, Princeton, New Jersey 08540
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Act (6 Del. C. § 18-101, et seq.), on June 21, 2019.
4. *Brief description of nature and extent of affiliation:* M 44 Holdings, LLC ("M 44") is wholly-owned by Miami International Holdings, Inc., which is the applicant's 100% owner.
5. *Brief description of business or functions:* M 44 is a holding company for certain investments.
6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Certificate of Formation dated June 21, 2019 is attached.
8. *A copy of existing by-laws or corresponding rules or instruments:* The Limited Liability Company Agreement dated June 26, 2019 is attached.
9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

### **Officers of M 44 Holdings, LLC**

The following persons are the officers of M 44 Holdings, LLC:

<b>Name</b>	<b>Title</b>
Thomas P. Gallagher	Chairman & Chief Executive Officer
Barbara Comly	Executive Vice President, General Counsel & Corporate Secretary
Douglas M. Shafer, Jr.	Executive Vice President & Chief Information Officer

### **Directors of M 44 Holdings, LLC**

The following persons are the directors of M 44 Holdings, LLC:

<b>Name</b>
Thomas P. Gallagher

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:* Not applicable.

## **I. THE BERMUDA STOCK EXCHANGE**

1. *Name:* The Bermuda Stock Exchange  
*Address:* 30 Victoria Street, 3F, Hamilton, Bermuda
2. *Form of organization:* A body corporate incorporated pursuant to The Bermuda Stock Exchange Act 1992.
3. *Name of state, statute under which organized and date of incorporation:* Bermuda, The Bermuda Stock Exchange Company Act 1992, on March 10, 1993.
4. *Brief description of nature and extent of affiliation:* Miami International Holdings, Inc., which is the applicant's 100% owner, is the owner of 100% of the outstanding shares of The Bermuda Stock Exchange ("BSX").
5. *Brief description of business or functions:* Stock Exchange located in Hamilton, Bermuda.
6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Memorandum of Association dated March 10, 1993, is attached.
8. *A copy of existing by-laws or corresponding rules or instruments:* The Bye-Laws dated August 24, 2001, are attached.
9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

### **Officers of The Bermuda Stock Exchange**

The following persons are the officers of The Bermuda Stock Exchange:

<b>Name</b>	<b>Title</b>
Gregory A. Wojciechowski	President & Chief Executive Officer
Gregory A. Wojciechowski	Secretary
James McKirdy	Chief Compliance Officer

### **Council (Directors) of The Bermuda Stock Exchange**

The following persons are the council of The Bermuda Stock Exchange:

<b>Council</b>
Thomas P. Gallagher (Chairman)

<b>Council</b>
David Brown (Deputy Chairman)
Jeff Conyers
Caroline Kennedy
Scott Lines
Alan Marshall
Mark Massad
Michael Neff
Eric Sites
Murray Stahl
Keith Stock
John Wight
Gregory A. Wojciechowski
<b>Alternate Council</b>
Alan Marshall (for Keith Stock and FFI International)
Malcolm Moseley (for Scott Lines)

**Committees of The Bermuda Stock Exchange**

<b>Business Development Committee</b>
Eric Sites
Jeff Conyers
Michael Neff
Keith Stock
Gregory A. Wojciechowski

<b>Compensation Committee</b>
Thomas P. Gallagher
David Brown
Jeff Conyers
Michael Neff

<b>Executive Management Committee</b>
Thomas P. Gallagher
David Brown
Jeff Conyers
Scott Lines
Michael Neff

<b>Listing Committee</b>
Dudley Cottingham
Susan Monkman
Sharon Beesley
Miguel DaPonte
Gregory A. Wojciechowski

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:*  
Not applicable.

## **J. BSD NOMINEE LIMITED**

1. *Name:* BSD Nominee Limited  
*Address:* 30 Victoria Street, 3F, Hamilton, Bermuda
2. *Form of organization:* A body corporate incorporated pursuant to Bermuda, The Companies Act 1981.
3. *Name of state, statute under which organized and date of incorporation:* Organized in Bermuda under The Companies Act 1981 on October 24, 2001. Registered in Bermuda under Section 14 of The Companies Act 1981 on November 1, 2001.
4. *Brief description of nature and extent of affiliation:* Miami International Holdings, Inc., which is the applicant's 100% owner, is the owner of 100% of the outstanding shares of The Bermuda Stock Exchange ("BSX"). BSX is the owner of 100% of the outstanding shares of BSD Nominee Limited.
5. *Brief description of business or functions:* To be the legal owner of shares held for the benefit of account holders of the Bermuda Securities Depository of BSX and to provide nominee services in relation to such shares.
6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Memorandum of Association dated October 24, 2001, and related documents is attached.
8. *A copy of existing by-laws or corresponding rules or instruments:* Not applicable.

9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

**Council (Directors) of BSD Nominee Limited**

The following persons are the council of BSD Nominee Limited:

<b>Council</b>
Gregory A. Wojciechowski
James McKirdy

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:* Not applicable.

**K. M 401 CORPORATION**

1. *Name:* M 401 Corporation  
*Address:* 7 Roszel Road, Suite 1A, Princeton, New Jersey 08540
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware General Corporation Law (8 Del. C. § 1-101, et seq.), on June 25, 2020.
4. *Brief description of nature and extent of affiliation:* M 401 Corporation ("M 401") was wholly-owned by Miami International Holdings, Inc., which was the applicant's 100% owner until December 4, 2020.
5. *Brief description of business or functions:* M 401 was a holding company for certain investments.
6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Certificate of Incorporation is attached.
8. *A copy of existing by-laws or corresponding rules or instruments:* The By-Laws are attached.

9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

**Officers of M 401 Corporation**

The following persons were the officers of M 401 Corporation until December 4, 2020:

Name	Title
Thomas P. Gallagher	Chairman and Chief Executive Officer
Barbara Comly	Executive Vice President, General Counsel and Corporate Secretary
Lance Emmons	Executive Vice President and Chief Financial Officer

**Directors of M 401 Corporation**

The following persons were the directors of M 401 Corporation until December 4, 2020:

Name
Thomas P. Gallagher

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:* Yes – M 401 ceased business on December 4, 2020 when M 401 merged with and into MGEX Holdings, Inc. (“MGEX Holdings”), a Delaware corporation associated with MGEX. MGEX Holdings thereafter merged with and into M 402 Holdings, LLC with M 402 Holdings, LLC surviving the merger.

**L. M 402 HOLDINGS, LLC**

1. *Name:* M 402 Holdings, LLC  
*Address:* 7 Roszel Road, Suite 1A, Princeton, New Jersey 08540
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Act (6 Del. C. § 18-101, et seq.), on June 27, 2020.
4. *Brief description of nature and extent of affiliation:* M 402 Holdings, LLC (“M 402”) is wholly-owned by Miami International Holdings, Inc., which is the applicant’s 100% owner. Minneapolis Grain Exchange, LLC (“MGEX”) is a wholly-owned subsidiary of M 402.
5. *Brief description of business or functions:* M 402 is a holding company for the equity and voting securities of MGEX.
6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Certificate of Formation is attached.

8. *A copy of existing by-laws or corresponding rules or instruments:* The Limited Liability Company Agreement and By-Laws are attached.
9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

**Officers of M 402 Holdings, LLC**

The following persons are the officers of M 402 Holdings, LLC:

Name	Title
Thomas P. Gallagher	Chairman and Chief Executive Officer
Barbara Comly	Executive Vice President, General Counsel and Corporate Secretary
Lance Emmons	Executive Vice President and Chief Financial Officer

**Directors of M 402 Holdings, LLC**

The following persons are the directors of M 402 Holdings, LLC:

Name
Thomas P. Gallagher

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:* Not applicable.

**M. MINNEAPOLIS GRAIN EXCHANGE, LLC**

1. *Name:* Minneapolis Grain Exchange, LLC  
*Address:* 400 S 4th St, Minneapolis, MN 55415
2. *Form of organization:* Limited Liability Corporation.
3. *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on December 4, 2020.
4. *Brief description of nature and extent of affiliation:* Miami International Holdings, Inc. is the sole member and owner of M 402 Holdings, LLC, which in turn is the sole member and owner of 100% of the equity and voting securities of Minneapolis Grain Exchange, LLC (“MGEX”).
5. *Brief description of business or functions:* MGEX is a designated contract market that operates under the regulatory oversight of the Commodity Futures Trading Commission pursuant to Section 5 of the Commodity Exchange Act 7 U.S.C. §7. MGEX is also

registered as a national securities exchange under Section 6(g) of Securities Exchange Act.

6. *A copy of the constitution:* Not applicable.
7. *A copy of the articles of incorporation or association including all amendments:* The Certificate of Formation dated December 4, 2020 is attached.
8. *A copy of existing by-laws or corresponding rules or instruments:* The Limited Liability Company Agreement dated December 4, 2020 and Bylaws dated December 4, 2020 are attached.
9. *The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

**Officers of Minneapolis Grain Exchange, LLC.**

The following persons are the officers of Minneapolis Grain Exchange, LLC:

<b>Name</b>	<b>Title</b>
Mark G. Bagan	President & Chief Executive Officer
Layne G. Carlson	Treasurer, Corporate Secretary, Chief Compliance Officer & Chief Regulatory Officer
Jesse Marie B. Green	Chief of Staff & Assistant Corporate Secretary
James D. Facente, Jr.	Director & Chief Risk Officer – Market Operations, Clearing & IT

**Directors of Minneapolis Grain Exchange, LLC**

The following persons are the directors of Minneapolis Grain Exchange, LLC:

<b>Name</b>
Thomas P. Gallagher
De'Ana H. Dow
Michael V. Dunn
Steve Fanady
Bradley Griffith
Christopher T. Matzdorf
Kerry L. Melius
Murray Stahl

## ***Standing Committees of Minneapolis Grain Exchange, LLC***

<b>Executive Committee</b>
Murray Stahl, Chairperson
Kerry L. Melius, First Vice Chairperson
Steve Fanady, Second Vice Chairperson
Thomas P. Gallagher
Bradley Griffith

<b>Audit Committee</b>
Murray Stahl, Chairperson
Mark G. Bagan
De'Ana H. Dow
Michael V. Dunn
Bradley Griffith

<b>Nominations Committee</b>
Bradley Griffith, Chairperson
De'Ana H. Dow
Michael V. Dunn
Christopher T. Matzdorf
Murray Stahl

<b>Personnel &amp; Compensation Committee</b>
Steve Fanady, Chairperson
Bradley Griffith
Christopher T. Matzdorf
Kerry L. Melius
Murray Stahl

<b>Regulatory Oversight Committee</b>
Steve Fanady, Chairperson
De'Ana H. Dow
Michael V. Dunn

<b>Risk Management Committee</b>
Bradley Griffith, Chairperson
De'Ana H. Dow
Steve Fanady

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:* Not 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:

1. **MIAX PEARL Options.** No change to the list of the members of the MIAX PEARL Options exchange dated as of September 10, 2020, previously filed.
2. **MIAX PEARL Equities.** Attached is a list of the members of the MIAX PEARL Equities exchange as of December 17, 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 Date: 9/25/2020  
**Membership Activities:**  
 Clearance  
 International Tele #

SEC #: 8-34354  
 CRD #: 14020

**ARCHIPELAGO SECURITIES LLC**

353 North Clark Street, Ste. 3200  
 Chicago IL 60654  
 Tele #: (312) 836-6700

Approval Date: 9/25/2020  
**Membership Activities:**  
 Clearance & Routing Broker  
 International Tele #

SEC #: 8-52140  
 CRD #: 102500

**ATM EXECUTION LLC**

599 Lexington Avenue  
 New York NY 10022  
 Tele #: (646) 562-1010

Approval Date: 10/12/2020  
**Membership Activities:**  
 Order Entry  
 International Tele #

SEC #: 8-65509  
 CRD #: 122529

**BARCLAYS CAPITAL INC.**

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

Approval Date: 9/25/2020  
**Membership Activities:**  
 Order Entry & Clearance  
 International Tele #

SEC #: 8-41342  
 CRD #: 19714

**BNP PARIBAS SECURITIES CORP.**

787 Seventh Avenue  
 New York NY 10019  
 Tele #: (212) 841-2000

Approval Date: 12/7/2020  
**Membership Activities:**  
 Order Entry & Clearance  
 International Tele #

SEC #: 8-32682  
 CRD #: 15794

**BOFA SECURITIES, INC.**

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

Approval Date: 9/25/2020  
**Membership Activities:**  
 Registered Market Maker, 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: 9/25/2020  
**Membership Activities:**  
 Registered Market Maker, Order Entry & Clearance  
 International Tele #

SEC #: 8-53574  
 CRD #: 116797

**CITIGROUP GLOBAL MARKETS INC.**

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

Approval Date: 9/25/2020  
**Membership Activities:**  
 Order Entry & Clearance  
 International Tele #

SEC #: 8-8177  
 CRD #: 7059

**COWEN AND COMPANY, LLC**

599 Lexington Avenue -20th Fl.  
 New York NY 10022  
 Tele #: (646) 562-1010

Approval Date: 10/12/2020  
**Membership Activities:**  
 Order Entry & Clearance  
 International Tele #

SEC #: 8-22522  
 CRD #: 7616

**CREDIT SUISSE SECURITIES (USA) LLC**

11 Madison Avenue - 24th Floor

New York NY 10010

Tele #: (212) 325-2000

Approval Date: 9/25/2020

SEC #: 8-00422

**Membership Activities:**

CRD #: 816

Order Entry &amp; Clearance

International Tele #

**DEUTSCHE BANK SECURITIES INC.**

60 Wall Street

New York NY 10005

Tele #: (212) 250-2500

Approval Date: 9/25/2020

SEC #: 8-17822

**Membership Activities:**

CRD #: 2525

Order Entry &amp; Clearance

International Tele #

**DRW SECURITIES, L.L.C.**

540 West Madison, Ste. 2500

Chicago IL 60661

Tele #: (312) 542-1000

Approval Date: 9/25/2020

SEC #: 8-51241

**Membership Activities:**

CRD #: 45908

Order Entry

International Tele #

**ELECTRONIC TRANSACTION CLEARING, INC.**

660 South Figueroa Street - Suite 1450

Los Angeles CA 90017

Tele #: (213) 402-1570

Approval Date: 9/25/2020

SEC #: 8-67790

**Membership Activities:**

CRD #: 146122

Clearance

International Tele #

**FIS BROKERAGE & SECURITIES SERVICES LLC**

2100 Enterprise Avenue

Geneva IL 60134

Tele #: (630) 482-7100

Approval Date: 9/25/2020

SEC #: 8-52614

**Membership Activities:**

CRD #: 104162

Order Entry

International Tele #

**G1 EXECUTION SERVICES, LLC**

175 W. Jackson Blvd. - Ste. 1700

Chicago IL 60604

Tele #: (312) 362-0404

Approval Date: 9/25/2020

SEC #: 8-53174

**Membership Activities:**

CRD #: 111528

Equities Market Maker

International Tele #

**GLOBAL EXECUTION BROKERS, LP**

401 City Avenue, Ste. 200

Bala Cynwyd PA 19004

Tele #: (610) 617-2600

Approval Date: 9/25/2020

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: 9/30/2020

SEC #: 8-129

**Membership Activities:**

CRD #: 361

Order Entry &amp; Clearance

International Tele #

**HRT FINANCIAL LP**

150 Greenwich Street - 57th Floor

4 World Trade Center

New York NY 10007

Tele #: (212) 293-1444

Approval Date: 9/25/2020

SEC #: 8-68430

**Membership Activities:**

CRD #: 152144

Order Entry

International Tele #

**IEX SERVICES LLC**

3 World Trade Center  
175 Greenwich Street - 58th Floor  
New York NY 10007  
Tele #:

Approval Date: 9/25/2020  
**Membership Activities:**  
Order Entry  
International Tele #

SEC #: 8-69280  
CRD #: 167872

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

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

Approval Date: 9/25/2020  
**Membership Activities:**  
Order Entry  
International Tele #

SEC #: 8-52600  
CRD #: 104143

**INSTINET, LLC**

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

Approval Date: 9/25/2020  
**Membership Activities:**  
Order Entry & Clearance  
International Tele #

SEC #: 8-23669  
CRD #: 7897

**INTERACTIVE BROKERS LLC**

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

Approval Date: 9/25/2020  
**Membership Activities:**  
Order Entry & Clearance  
International Tele #

SEC #: 8-47257  
CRD #: 36418

**J.P. MORGAN SECURITIES LLC**

383 Madison Avenue  
New York NY 10179  
Tele #: (212) 272-2000

Approval Date: 9/25/2020  
**Membership Activities:**  
Market Maker, Order Entry & Clearance  
International Tele #

SEC #: 8-35008  
CRD #: 79

**JANE STREET CAPITAL, LLC**

250 Vesey Street - 5th Floor  
New York NY 10281  
Tele #: (646) 759-6000

Approval Date: 9/25/2020  
**Membership Activities:**  
Market Maker & Order Entry  
International Tele #

SEC #: 8-52275  
CRD #: 103782

**JEFFERIES LLC**

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

Approval Date: 9/30/2020  
**Membership Activities:**  
Order Entry & Clearance  
International Tele #

SEC #: 8-15074  
CRD #: 2347

**JUMP TRADING, LLC**

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

Approval Date: 9/25/2020  
**Membership Activities:**  
Order Entry  
International Tele #

SEC #: 8-52989  
CRD #: 106124

**LATOUR TRADING LLC**

148 Lafayette Street - 10th Fl.  
New York NY 10013  
Tele #: (917) 388-8000

Approval Date: 9/25/2020  
**Membership Activities:**  
Order Entry  
International Tele #

SEC #: 8-68304  
CRD #: 150887

**MEMX EXECUTION SERVICES LLC**

111 Town Square Place -Suite 520  
Jersey City NJ 07310  
Tele #: (201) 331-7900

Approval Date: 9/25/2020

SEC #: 8-70449

**Membership Activities:**

CRD #: 304129

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: 9/25/2020

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: 9/25/2020

SEC #: 8-15869

**Membership Activities:**

CRD #: 8209

Order Entry &amp; Clearance

International Tele #

**NASDAQ EXECUTION SERVICES, LLC**

FMC Tower, Level 8  
2929 Walnut Street  
Philadelphia PA 19104  
Tele #: (215) 496-5000

Approval Date: 9/25/2020

SEC #: 8-37329

**Membership Activities:**

CRD #: 7270

Exchange Broker Dealer

International Tele #

**PERSHING LLC**

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

Approval Date: 9/25/2020

SEC #: 8-17574

**Membership Activities:**

CRD #: 7560

Order Entry &amp; Clearance

International Tele #

**RBC CAPITAL MARKETS LLC**

9th Floor  
200 Vesey Street  
New York NY 10281  
Tele #: (212) 858-6008

Approval Date: 9/28/2020

SEC #: 8-45411

**Membership Activities:**

CRD #: 31194

Market Maker, Order Entry &amp; Clearance

International Tele #

**SANFORD C. BERNSTEIN & CO., LLC**

1345 Avenue of the Americas  
New York NY 10105  
Tele #: (212) 969-1000

Approval Date: 10/12/2020

SEC #: 8-52942

**Membership Activities:**

CRD #: 104474

Order Entry

International Tele #

**SIMPLEX TRADING, LLC**

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

Approval Date: 9/25/2020

SEC #: 8-68556

**Membership Activities:**

CRD #: 153585

Equities Market Maker

International Tele #

**SUSQUEHANNA SECURITIES, LLC**

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

Approval Date: 9/25/2020

SEC #: 8-47034

**Membership Activities:**

CRD #: 35874

Order Entry

International Tele #

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**TRC MARKETS LLC**

710 Johnnie Dodds Blvd. - Ste. 300  
Mt. Pleasant SC 29464  
Tele #: (917) 388-8644

Approval Date: 9/25/2020

**Membership Activities:**

Order Entry  
International Tele #

SEC #: 8-69454  
CRD #: 171272

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**UBS SECURITIES LLC**

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

Approval Date: 9/25/2020

**Membership Activities:**

Order Entry & Clearance  
International Tele #

SEC #: 8-22651  
CRD #: 7654

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**VIRTU AMERICAS LLC**

One Liberty Plaza  
165 Broadway  
New York NY 10006  
Tele #: (800) 544-7508

Approval Date: 9/25/2020

**Membership Activities:**

Market Maker & Order Entry  
International Tele #

SEC #: 8-68193  
CRD #: 149823

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**WOLVERINE EXECUTION SERVICES, LLC**

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

Approval Date: 9/25/2020

**Membership Activities:**

Order Entry  
International Tele #

SEC #: 8-65336  
CRD #: 120719

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Total BD Firms 40