



December 6, 2021

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 2021-20 to Form 1 Application**

Dear Ms. Marshall:

Enclosed for official filing pursuant to Rule 6a-2(a) is Amendment 2021-20 to the Form 1 Application of Pearl, which includes the following changes:

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.

Sincerely,

Barbara J. Comly

Barbara J. Comly
EVP, General Counsel & Corporate Secretary

Enclosure
cc: Marlene Olsen

7 Roszel Road, Suite 1A
Princeton, New Jersey 08540

1450 Brickell Avenue
Suite 1100, 11th Floor Loft
Miami, Florida 33131

miaxoptions.com

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): 12/06/21	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):



21009440

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 6, 2021

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

Subscribed and sworn before me this ____ day of _____, 2021.

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 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 June 9, 2021, previously filed.
2. **MIAX Pearl Equities.** Attached is a list of the members of the MIAX Pearl Equities exchange as of December 6, 2021, 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
 New York NY 10036
 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.

Tower Building
 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 & Clearance

International Tele #

DEUTSCHE BANK SECURITIES INC.

One Columbus Circle

New York NY 10019

Tele #: (212) 250-2500

Approval Date: 9/25/2020

SEC #: 8-17822

Membership Activities:

CRD #: 2525

Order Entry & 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 & Clearance

International Tele #

HRT FINANCIAL LP

175 Greenwich Street - 76th Floor

3 World Trade Center

New York NY 10007

Tele #: (212) 293-1444

Approval Date: 9/25/2020

SEC #: 8-68430

Membership Activities:

CRD #: 152144

Market Maker, Order Entry & Clearance

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

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
Membership Activities:
 Clearance
 International Tele #

SEC #: 8-33359
 CRD #: 16139

MORGAN STANLEY & CO. LLC

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

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

SEC #: 8-15869
 CRD #: 8209

NASDAQ EXECUTION SERVICES, LLC

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

Approval Date: 9/25/2020
Membership Activities:
 Exchange Broker Dealer
 International Tele #

SEC #: 8-37329
 CRD #: 7270

OLD MISSION CAPITAL, LLC

1 N. Dearborn Street - 8th Floor
 Chicago IL 60602
 Tele #: (312) 260-3052

Approval Date: 10/1/2021
Membership Activities:
 Order Entry
 International Tele #

SEC #: 8-67867
 CRD #: 146991

PERSHING LLC

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

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

SEC #: 8-17574
 CRD #: 7560

PUNDION LLC

230 Park Avenue, 3rd Floor
 New York NY 10169
 Tele #: (718) 618-4929

Approval Date: 5/24/2021
Membership Activities:
 Market Maker & Order Entry
 International Tele #

SEC #: 8-68784
 CRD #: 156169

QUANTLAB BROKERAGE, LLC

3 Greenway Plaza - Suite 200
 Houston TX 77046
 Tele #: (713) 400-5440

Approval Date: 11/12/2021
Membership Activities:
 Order Entry
 International Tele #

SEC #: 8-70274
 CRD #: 299468

RBC CAPITAL MARKETS LLC

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

Approval Date: 9/28/2020
Membership Activities:
 Market Maker, Order Entry & Clearance
 International Tele #

SEC #: 8-45411
 CRD #: 31194

SANFORD C. BERNSTEIN & CO., LLC

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

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

SEC #: 8-52942
 CRD #: 104474

SIMPLEX TRADING, LLC

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

Approval Date: 9/25/2020

Membership Activities:
Equities Market Maker
International Tele #

SEC #: 8-68556

CRD #: 153585

SUSQUEHANNA SECURITIES, LLC

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

Approval Date: 9/25/2020

Membership Activities:
Order Entry
International Tele #

SEC #: 8-47034

CRD #: 35874

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

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

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

WELLS FARGO SECURITIES, LLC

550 South Tryon Street - 6th Floor
D1086-060
Charlotte NC 28202
Tele #: (704) 410-1913

Approval Date: 1/12/2021

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: 9/25/2020

Membership Activities:
Order Entry
International Tele #

SEC #: 8-65336

CRD #: 120719

Total BD Firms 43