



January 9, 2023

Jeannette Jackson  
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 2023-1 to Form 1 Application**

Dear Ms. Jackson:

Enclosed for official filing pursuant to Rule 6a-2(a) is Amendment 2023-1 to the Form 1 Application of Pearl, which includes the following changes:

Exhibit M – Updated MIAX Pearl Options member list

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

[miaxoptions.com](http://miaxoptions.com)

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):  01/09/23	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):



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: January 9, 2023

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

Subscribed and sworn before me this \_\_\_\_ day of \_\_\_\_\_, 2023.

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.** Attached is a list of the members of the MIAX Pearl Options exchange dated as of January 6, 2023, including the information set forth in items 1-6 above.
2. **MIAX Pearl Equities.** No change to the list of the members of the MIAX Pearl Equities exchange dated as of November 3, 2022, previously filed.

**ABN AMRO CLEARING CHICAGO LLC**

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

Approval Date: 2/6/2017  
**Membership Activities:**  
 Clearance  
 International Tele #

SEC #: 8-34354  
 CRD #: 14020

**AKUNA SECURITIES LLC**

333 S. Wabash Avenue, Suite 2600  
 Chicago IL 60604  
 Tele #: (312) 994-4640

Approval Date: 4/17/2017  
**Membership Activities:**  
 Registered Market Maker  
 International Tele #

SEC #: 8-68957  
 CRD #: 159041

**APEX CLEARING CORPORATION**

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

Approval Date: 2/6/2017  
**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: 2/6/2017  
**Membership Activities:**  
 Order Entry & Clearance  
 International Tele #

SEC #: 8-41342  
 CRD #: 19714

**BELVEDERE TRADING LLC**

10 S. Riverside Plaza, Suite 2100  
 Chicago IL 60606  
 Tele #: (312) 893-3750

Approval Date: 9/1/2022  
**Membership Activities:**  
 Registered Market Maker  
 International Tele #

SEC #: 8-66612  
 CRD #: 132605

**BOFA SECURITIES, INC.**

One Bryant Park  
 New York NY 10036  
 Tele #: (646) 743-2734

Approval Date: 11/1/2018  
**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: 2/6/2017  
**Membership Activities:**  
 Registered Market Maker & Order Entry  
 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: 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: 2/6/2017  
**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 #: (312) 986-2006

Approval Date: 2/6/2017

SEC #: 8-52503

**Membership Activities:**

CRD #: 104031

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: 11/14/2017

SEC #: 8-51241

**Membership Activities:**

CRD #: 45908

Order Entry

International Tele #

**GLOBAL EXECUTION BROKERS, LP**

401 City Avenue, Ste. 200

Bala Cynwyd PA 19004

Tele #: (610) 617-2600

Approval Date: 2/6/2017

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: 2/6/2017

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: 2/6/2017

SEC #: 8-47762

**Membership Activities:**

CRD #: 37484

Order Entry

International Tele #

**GTS SECURITIES LLC**

545 Madison Avenue, 15th Fl.

New York NY 10022

Tele #: (212) 715-2830

Approval Date: 2/25/2020

SEC #: 8-68126

**Membership Activities:**

CRD #: 149224

Registered Market Maker &amp; Order Entry

International Tele #

**HRT FINANCIAL LLC**

175 Greenwich Street - 76th Floor

3 World Trade Center

New York NY 10007

Tele #: (212) 293-1444

Approval Date: 4/5/2017

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: 2/6/2017

SEC #: 8-52600

**Membership Activities:**

CRD #: 104143

Registered Market Maker

International Tele #

**INSTINET, LLC**

Worldwide Plaza

309 West 49th Street

New York NY 10019

Tele #: (212) 310-9500

Approval Date: 2/6/2017

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: 2/6/2017

**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: 2/6/2017

**Membership Activities:**  
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: 4/2/2018

**Membership Activities:**  
Order Entry  
International Tele #

SEC #: 8-52275

CRD #: 103782

**JANE STREET OPTIONS, LLC**

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

Approval Date: 4/2/2018

**Membership Activities:**  
Order Entry  
International Tele #

SEC #: 8-66813

CRD #: 134159

**JEFFERIES LLC**

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

Approval Date: 2/6/2017

**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: 2/11/2019

**Membership Activities:**  
Registered Market Maker  
International Tele #

SEC #: 8-52989

CRD #: 106124

**MATRIX EXECUTIONS, LLC**

135 S. LaSalle Street, Ste. 3900  
Chicago IL 60603  
Tele #: (312) 334-8000

Approval Date: 2/6/2017

**Membership Activities:**  
Order Entry  
International Tele #

SEC #: 8-48255

CRD #: 38455

**MERRILL LYNCH PROFESSIONAL CLEARING CORP.**

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

Approval Date: 2/6/2017

**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: 2/6/2017

**Membership Activities:**  
Registered Market Maker, Order Entry & Clearance  
International Tele #

SEC #: 8-15869

CRD #: 8209

**OPTIVER US LLC**

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

Approval Date: 2/6/2017

SEC #: 8-66083

**Membership Activities:**

CRD #: 128030

Registered Market Maker &amp; Order Entry

International Tele #

**PERSHING LLC**

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

Approval Date: 2/6/2017

SEC #: 8-17574

**Membership Activities:**

CRD #: 7560

Order Entry &amp; Clearance

International Tele #

**RQD\* CLEARING, LLC**

425 South Financial Place - Suite 910B  
Chicago IL 60605  
Tele #: (312) 692-5000

Approval Date: 2/6/2017

SEC #: 8-66826

**Membership Activities:**

CRD #: 134284

Order Entry &amp; Clearance

International Tele #

**SIMPLEX TRADING, LLC**

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

Approval Date: 2/6/2017

SEC #: 8-68556

**Membership Activities:**

CRD #: 153585

Registered Market Maker &amp; Order Entry

International Tele #

**SUSQUEHANNA INVESTMENT GROUP**

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

Approval Date: 3/1/2019

SEC #: 8-37520

**Membership Activities:**

CRD #: 33875

Registered Market Maker

International Tele #

**SUSQUEHANNA SECURITIES, LLC**

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

Approval Date: 3/1/2019

SEC #: 8-47034

**Membership Activities:**

CRD #: 35874

Registered Market Maker

International Tele #

**TWO SIGMA SECURITIES, LLC**

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

Approval Date: 9/12/2017

SEC #: 8-68090

**Membership Activities:**

CRD #: 148960

Registered Market Maker

International Tele #

**UBS SECURITIES LLC**

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

Approval Date: 2/6/2017

SEC #: 8-22651

**Membership Activities:**

CRD #: 7654

Order Entry &amp; Clearance

International Tele #

**VIRTU AMERICAS LLC**

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

Approval Date: 10/1/2019

SEC #: 8-68193

**Membership Activities:**

CRD #: 149823

Registered Market Maker, Order Entry &amp; Clearance

International Tele #

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**WEDBUSH SECURITIES INC.**

1000 Wilshire Boulevard, Suite 900  
ATTN: COMPLIANCE  
Los Angeles CA 90017  
Tele #: (213) 688-8090

Approval Date: 2/6/2017  
**Membership Activities:**  
Clearance  
International Tele #

SEC #: 8-12987  
CRD #: 877

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**WELLS FARGO SECURITIES, LLC**

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

Approval Date: 2/6/2017  
**Membership Activities:**  
Order Entry & Clearance  
International Tele #

SEC #: 8-65876  
CRD #: 126292

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**WOLVERINE EXECUTION SERVICES, LLC**

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

Approval Date: 2/6/2017  
**Membership Activities:**  
Order Entry & Clearance  
International Tele #

SEC #: 8-65336  
CRD #: 120719

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**WOLVERINE TRADING, LLC**

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

Approval Date: 2/6/2017  
**Membership Activities:**  
Registered Market Maker  
International Tele #

SEC #: 8-47484  
CRD #: 36848

Total BD Firms 40