



June 13, 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 2023-8 to Form 1 Application**

Dear Ms. Jackson:

Enclosed for official filing pursuant to Rule 6a-2(a) is Amendment 2023-8 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

[miaxglobal.com](http://miaxglobal.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):  06/13/23	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):



23007707

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: June 13, 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.** No change to the list of the members of the MIAX Pearl Options exchange dated as of January 20, 2023, previously filed.
2. **MIAX Pearl Equities.** Attached is a list of the members of the MIAX Pearl Equities exchange dated as of June 5, 2023, including the information set forth in items 1-6 above.

**ABN AMRO CLEARING USA 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:**  
 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:**  
 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

**CLEAR STREET LLC**

55 Broadway  
 New York NY 10006  
 Tele #: (646) 738-4066

Approval Date: 12/10/2021  
**Membership Activities:**  
 Clearance  
 International Tele #

SEC #: 8-69972  
 CRD #: 288933

**COWEN AND COMPANY, LLC**

599 Lexington Avenue -20th Fl.

New York NY 10022

Tele #: (646) 562-1010

Approval Date: 10/12/2020

SEC #: 8-22522

**Membership Activities:**

CRD #: 7616

Order Entry &amp; Clearance

International Tele #

**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 #

**DASH FINANCIAL TECHNOLOGIES LLC**

200 S. Wacker Drive, Ste. 2450

Chicago IL 60606

Tele #: (312) 986-2006

Approval Date: 2/10/2023

SEC #: 8-52503

**Membership Activities:**

CRD #: 104031

Order Entry

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 #

**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

Order Entry

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 #

**GTS SECURITIES LLC**

545 Madison Avenue, 15th Fl.

New York NY 10022

Tele #: (212) 715-2830

Approval Date: 3/1/2022

SEC #: 8-68126

**Membership Activities:**

CRD #: 149224

Order Entry

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

CRD #: 152144

**IEX SERVICES LLC**

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

Approval Date: 9/25/2020

SEC #: 8-69280

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

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

SEC #: 8-52600

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

CRD #: 104143

**INSTINET, LLC**

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

Approval Date: 9/25/2020

SEC #: 8-23669

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

CRD #: 7897

**INTERACTIVE BROKERS LLC**

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

Approval Date: 9/25/2020

SEC #: 8-47257

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

CRD #: 36418

**J.P. MORGAN SECURITIES LLC**

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

Approval Date: 9/25/2020

SEC #: 8-35008

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

CRD #: 79

**JANE STREET CAPITAL, LLC**

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

Approval Date: 9/25/2020

SEC #: 8-52275

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

CRD #: 103782

**JANE STREET EXECUTION SERVICES, LLC**

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

Approval Date: 12/30/2021

SEC #: 8-69254

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

CRD #: 167280

**JANE STREET OPTIONS, LLC**

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

Approval Date: 11/1/2022

SEC #: 8-66813

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

CRD #: 134159

**JEFFERIES LLC**

520 Madison Avenue - 11th Floor

New York NY 10022

Tele #: (212) 284-2300

Approval Date: 9/30/2020

**Membership Activities:**

Order Entry &amp; Clearance

International Tele #

SEC #: 8-15074

CRD #: 2347

**JUMP EXECUTION, LLC**

600 West Chicago Avenue - Ste. 600

Chicago IL 60654

Tele #: (312) 205-8900

Approval Date: 6/5/2023

**Membership Activities:**

Order Entry

International Tele #

SEC #: 8-70668

CRD #: 313060

**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 &amp; Clearance

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

**LIME TRADING CORP.**

1 Penn Plaza - 16th Floor

New York NY 10119

Tele #: (646) 346-1000

Approval Date: 2/1/2022

**Membership Activities:**

Order Entry

International Tele #

SEC #: 8-27061

CRD #: 11826

**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 &amp; 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

SEC #: 8-17574

**Membership Activities:**

CRD #: 7560

Order Entry &amp; Clearance

International Tele #

**PUNDION LLC**

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

Approval Date: 5/24/2021

SEC #: 8-68784

**Membership Activities:**

CRD #: 156169

Market Maker &amp; Order Entry

International Tele #

**QUANTLAB BROKERAGE, LLC**

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

Approval Date: 11/12/2021

SEC #: 8-70274

**Membership Activities:**

CRD #: 299468

Order Entry

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

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 #

**TRADEBOT SYSTEMS, INC.**

1251 NW Briarcliff Parkway - Ste. 700  
 Kansas City MO 64116  
 Tele #: (816) 285-6400

Approval Date: 8/1/2022

SEC #: 8-53557

**Membership Activities:**

CRD #: 116571

Order Entry &amp; Clearance

International Tele #

**TRC MARKETS LLC**

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

Approval Date: 9/25/2020

SEC #: 8-69454

**Membership Activities:**

CRD #: 171272

Order Entry

International Tele #

**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 &amp; 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 &amp; Order Entry

International Tele #

SEC #: 8-68193

CRD #: 149823

**WEDBUSH SECURITIES INC.**

1000 Wilshire Boulevard, Suite 900

ATTN: COMPLIANCE

Los Angeles CA 90017

Tele #: (213) 688-8090

Approval Date: 1/5/2022

**Membership Activities:**

Clearance

International Tele #

SEC #: 8-12987

CRD #: 877

**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 &amp; 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 50