



October 18, 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 2023-19 to Form 1 Application**

Dear Ms. Jackson:

Enclosed for official filing pursuant to Rule 6a-2(a) is Amendment 2023-19 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

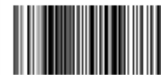
Form 1 Page 1 Execution Page	UNITED STATES SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549 APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR, REGISTRATION AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION FROM REGISTRATION PURSUANT TO SECTION 5 OF THE EXCHANGE ACT	Date filed (MM/DD/YY): 10/18/23	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):



23008214

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: October 18, 2023

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

Subscribed and sworn before me this 18th day of October, 2023.


Jane Post
Notary Public of the State of New Jersey
My Commission Expires October 27, 2024

**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 August 21, 2023, previously filed
2. **MIAX Pearl Equities.** Attached is a list of the members of the MIAX Pearl Equities exchange dated as of October 17, 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

CIBC WORLD MARKETS CORP.

425 Lexington Avenue
 New York NY 10016
 Tele #: (212) 856-4000

Approval Date: 10/13/2023
Membership Activities:
 Clearance
 International Tele #

SEC #: 8-18333
 CRD #: 630

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

SEC #: 8-69972

Membership Activities:

CRD #: 288933

Clearance

International Tele #

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 & 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 & 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 & Clearance

International Tele #

GTS SECURITIES LLC

545 Madison Avenue, 15th Fl.
New York NY 10022
Tele #: (212) 715-2830

Approval Date: 3/1/2022

Membership Activities:

Order Entry
International Tele #

SEC #: 8-68126
CRD #: 149224

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

Membership Activities:

Market Maker, Order Entry & Clearance
International Tele #

SEC #: 8-68430
CRD #: 152144

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

JANE STREET EXECUTION SERVICES, LLC

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

Approval Date: 12/30/2021

Membership Activities:

Order Entry & Clearance
International Tele #

SEC #: 8-69254
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:

CRD #: 134159

Order Entry

International Tele #

JEFFERIES LLC

520 Madison Avenue - 11th Floor

New York NY 10022

Tele #: (212) 284-2300

Approval Date: 9/30/2020

SEC #: 8-15074

Membership Activities:

CRD #: 2347

Order Entry & Clearance

International Tele #

JUMP EXECUTION, LLC

600 West Chicago Avenue - Ste. 600

Chicago IL 60654

Tele #: (312) 205-8900

Approval Date: 6/5/2023

SEC #: 8-70668

Membership Activities:

CRD #: 313060

Order Entry

International Tele #

JUMP TRADING, LLC

600 West Chicago Avenue, Ste. 600

Chicago IL 60654

Tele #: (312) 205-8900

Approval Date: 9/25/2020

SEC #: 8-52989

Membership Activities:

CRD #: 106124

Order Entry & Clearance

International Tele #

LATOUR TRADING LLC

148 Lafayette Street - 10th Fl.

New York NY 10013

Tele #: (917) 388-8000

Approval Date: 9/25/2020

SEC #: 8-68304

Membership Activities:

CRD #: 150887

Order Entry

International Tele #

LIME TRADING CORP.

1 Penn Plaza - 16th Floor

New York NY 10119

Tele #: (646) 346-1000

Approval Date: 2/1/2022

SEC #: 8-27061

Membership Activities:

CRD #: 11826

Order Entry

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 & 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 #

OLD MISSION CAPITAL, LLC

1 N. Dearborn Street - 8th Floor

Chicago IL 60602

Tele #: (312) 260-3052

Approval Date: 10/1/2021

SEC #: 8-67867

Membership Activities:

CRD #: 146991

Order Entry

International Tele #

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

RQD* CLEARING, LLC

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

Approval Date: 9/1/2023
Membership Activities:
Clearance
International Tele #

SEC #: 8-66826
CRD #: 134284

SAGETRADER, LLC

282 Grand Avenue
NJ 07631
Tele #: (855) 809-5941

Approval Date: 9/1/2023
Membership Activities:
Order Entry
International Tele #

SEC #: 8-67169
CRD #: 137862

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:
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

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 & Clearance

International Tele #

TRADEPRO SECURITIES INC.

340 Congress Parkway

Lawrenceville GA 30044

Tele #: (305) 446-4800

Approval Date: 9/1/2023

SEC #: 8-52282

Membership Activities:

CRD #: 103781

Order Entry

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 #

TWO SIGMA SECURITIES, LLC

100 Avenue of the Americas - 2nd Fl.

New York NY 10013

Tele #: (212) 625-5700

Approval Date: 9/1/2023

SEC #: 8-68090

Membership Activities:

CRD #: 148960

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

SEC #: 8-22651

Membership Activities:

CRD #: 7654

Order Entry & Clearance

International Tele #

VELOCITY CLEARING, LLC

1301 Route 36 - Suite 109

Hazlet NJ 07730

Tele #: (201) 706-7157

Approval Date: 8/21/2023

SEC #: 8-65894

Membership Activities:

CRD #: 126588

Order Entry & Clearance

International Tele #

VIRTU AMERICAS LLC

One Liberty Plaza

165 Broadway

New York NY 10006

Tele #: (800) 544-7508

Approval Date: 9/25/2020

SEC #: 8-68193

Membership Activities:

CRD #: 149823

Market Maker & Order Entry

International Tele #

WEDBUSH SECURITIES INC.

1000 Wilshire Boulevard, Suite 900

ATTN: COMPLIANCE

Los Angeles CA 90017

Tele #: (213) 688-8090

Approval Date: 1/5/2022

SEC #: 8-12987

Membership Activities:

CRD #: 877

Clearance

International Tele #

WELLS FARGO SECURITIES, LLC

550 South Tryon Street - 6th Floor

D1086-060

Charlotte NC 28202

Tele #: (704) 410-1913

Approval Date: 1/12/2021

SEC #: 8-65876

Membership Activities:

CRD #: 126292

Order Entry & Clearance

International Tele #

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

XR SECURITIES LLC

550 West Jackson Blvd.- Ste. 1000
Chicago IL 60661
Tele #: (312) 244-4500

Approval Date: 10/16/2023

Membership Activities:
Equities Order Entry
International Tele #

SEC #: 8-67724
CRD #: 145357

Total BD Firms 56