



November 25, 2025

Division of Trading and Markets
Office of Market Supervision
Securities and Exchange Commission
100 F. Street, N.E.
Washington, D.C. 20549

**RE: Miami International Securities Exchange, LLC ("MIAx")
Amendment 2025-21 to Form 1 Application**

Dear Sir/Madam:

Enclosed for official filing pursuant to Rule 6a-2(a) is Amendment 2025-21 to the Form 1 Application of MIAx, which includes the following changes:

Exhibit J – Updated observers
Exhibit M – Updated member list

Please do not hesitate to contact me if you have any questions in connection with this matter.

Sincerely,

A handwritten signature in blue ink, appearing to be "JW Ferraro III".

Joseph W. Ferraro III
SVP, Deputy General Counsel

Enclosure
cc: Marlene Olsen

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

miaxglobal.com

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**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):
11/25/25

OFFICIAL
USE
ONLY

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: Miami International Securities Exchange, LLC
- 2. Provide the applicant's primary street address: 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
Miami International Securities Exchange, 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):



25004929

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): 9/10/07 (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.

MIAMI INTERNATIONAL SECURITIES EXCHANGE, LLC

Date: November 25, 2025

By:
Joseph W. Ferraro III
SVP, Deputy General Counsel

Subscribed and sworn before me this 25th day of November, 2025.

Jane Post
Notary Public of the State of New Jersey
My Commission Expires October 27, 2029



EXHIBIT J

Exhibit Request:

A list of the officers, governors, members of all standing committees, or persons performing similar functions, who presently hold or have held their offices or positions during the previous year, indicating the following for each:

1. Name.
2. Title.
3. Dates of commencement and termination of term of office or position.
4. Type of business in which each is primarily engaged (e.g., floor broker, specialist, odd lot dealer, etc.).

Response:

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

Name	Title
Thomas P. Gallagher	Chairman and Chief Executive Officer/President
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/Treasurer
Joseph S. Bracco	Executive Vice President – Global Head of Sales
Shelly Brown	Executive Vice President – Chief Strategy Officer
Edward Deitzel	Executive Vice President, Chief Regulatory Officer and Chief Compliance Officer
Randy Foster	Executive Vice President – Business Systems Development
Harish Jayabalan	Executive Vice President – Chief Risk Officer and Chief Information Security Officer
Matthew Rotella	Executive Vice President – Chief Technology Officer
John Smollen	Executive Vice President – New Product Development
Kelli Annequin	Senior Vice President – Chief Marketing Officer
Charles Blades	Senior Vice President – Controller
Deborah Carroll	Senior Vice President – Associate General Counsel and Assistant Corporate Secretary
Joseph W. Ferraro III	Senior Vice President – Deputy General Counsel
Rodney Hester	Senior Vice President – Systems Infrastructure
Joseph P. Kamnik	Senior Vice President – Senior Counsel
Amy Neiley-Avayou	Senior Vice President – Trading Operations and Listings
Paul Anders (Andy) Nybo	Senior Vice President – Chief Communications Officer
Vinay Rao	Senior Vice President – Trading Systems Development
Siddharth Sahoo	Senior Vice President – Trading Systems Development
Todd Borneman	Vice President – Data Services
Kateryna Brezitska	Vice President – Systems Requirements and Analysis

Name	Title
Daniel Brill	Vice President – Systems Requirements
Liang Cao	Vice President – Business Systems Development
Christopher Chapman	Vice President – Strategic Planning & Business Development
Neil Collins	Vice President – Regulatory Operations
Jonathan S. Dowd	Vice President – Systems Requirements
Mitchell Garfinkel	Vice President – Finance
Carlo Giansanti	Vice President – Vendor Management
Daniel Hsu	Vice President – Exchange Pricing & Business Analysis
Gamini Karunaratne	Vice President – Network Engineering & Data Center Operations
Ronald Miller	Vice President – Compliance
Brendan Murphy	Vice President – Member Relations and Development
Lawrence O’Leary	Vice President – Regulatory Oversight
James O’Neil	Vice President and Director of Physical Security and Safety
Gerard (Chaz) Palmeri	Vice President – Systems Operations
Dominique Prunetti Miller	Vice President – Human Resources and Corporate Relations
Priya Rege	Vice President – Business Systems Development
Christopher Solgan	Vice President – Senior Counsel
Christopher Swisher	Vice President – Market Surveillance
Tia Toms	Vice President – Administration
Bruce Ulriksen	Vice President – Regulatory Operations, Trading Floor Oversight
Gregory Ziegler	Vice President – Senior Counsel
Nathan Gaudio	Assistant Vice President – Strategic Planning & Business Development
Tatiana Kitaigorovski	Assistant Vice President – Associate Counsel
Tao Pan	Assistant Vice President – Associate Counsel
Ketan Patel	Assistant Vice President – Information Security
Zachary G. Pendleton	Assistant Vice President – Privacy and Data Governance Counsel
Gagan Singh	Assistant Vice President – Business Systems Development
Michael Slade	Assistant Vice President – Associate Counsel

The officers of the Exchange serve until their successors are appointed in accordance with the By-Laws of the Exchange. Officers of the Exchange serve at the direction of the Board of Directors.

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

DIRECTORS			
Name	Classification	Term of Office	Type of Business
Thomas P. Gallagher	Industry	So long as CEO of the Company	Securities Exchange
Joseph Sellitto	Industry/ERP	So long as qualified under Equity Rights Program	CEO – Global Execution Brokers, LP
David Dooman	Industry/Member Representative	Class I – 2026	Managing Director – Dash Financial Technologies

DIRECTORS			
Name	Classification	Term of Office	Type of Business
Lawrence E. Jaffe	Non-Industry/ Independent	Class I – 2026	Attorney (Retired)
William V. Looney, Jr.	Industry	Class I – 2026	Managing Director –Head of Global Business Development – X-Change Financial Access, LLC
Cynthia Schwarzkopf	Non-Industry/ Independent	Class I – 2026	Professional and Philanthropic Public Speaker
J. Gray Teekell	Non-Industry/ Independent	Class I – 2026	President and Chief Executive Officer – The Teekell Company, Inc.
Lindsay L. Burbage	Non-Industry/ Independent	Class II – 2027	Attorney (Retired)
Robert P. Castrignano	Industry	Class II – 2027	Managing Director – Piper Sandler
John DiBacco, Jr.	Industry	Class II – 2027	Global Head of Derivatives – Clear Street
John A. Kinahan	Industry/Member Representative	Class II – 2027	Chief Executive Officer – Group One Trading LP
John E. McCormac	Non-Industry/ Independent	Class II – 2027	Township Mayor – Woodbridge, New Jersey; Former New Jersey State Treasurer
Michael P. Ameen	Non-Industry/ Independent	Class III – 2028	Executive Vice President and Chief Financial Officer – Rheo Vest, LLC
Marianne Deane	Non-Industry/ Independent	Class III – 2028	Community Volunteer
Leslie Florio	Non-Industry/ Independent	Class III – 2028	Community Volunteer
Paul Jiganti	Industry/Member Representative	Class III – 2028	Consultant
Nathaniel Pomeroy	Industry/Member Representative	Class III – 2028	Principal – Wolverine Trading Technologies, LLC
Robert D. Prunetti	Non-Industry	Class III – 2028	President – Phoenix Ventures, LLC

3. **Standing Committees of Miami International Securities Exchange, LLC**

AUDIT COMMITTEE	
Name	Classification
Robert D. Prunetti (Chair)	Non-Industry
Michael P. Ameen	Non-Industry/Independent
John E. McCormac	Non-Industry/Independent

REGULATORY OVERSIGHT COMMITTEE	
Name	Classification
Lindsay L. Burbage (Chair)	Non-Industry/Independent
Lawrence E. Jaffe	Non-Industry/Independent
Leslie Florio	Non-Industry/Independent

APPEALS COMMITTEE	
Name	Classification
Lawrence Jaffe (Chair)	Non-Industry/Independent
Robert Castrignano	Industry
Nathaniel Pomeroy	Industry/Member Representative

TECHNOLOGY COMMITTEE	
Name	Classification
Leslie Florio (Chair)	Non-Industry/Independent
Robert Castrignano	Industry
Marianne Deane	Non-Industry/Independent
David Dooman	Industry/Member Representative
John A. Kinahan	Industry/Member Representative
John E. McCormac	Non-Industry/Independent
Nathaniel Pomeroy	Industry/Member Representative
Cynthia Schwarzkopf	Non-Industry/Independent
J. Gray Teekell	Non-Industry/Independent

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:

Attached is a list of the members of the Exchange as of November 19, 2025, 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: 3/7/2013
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:
 Primary Lead, Lead/Registered Mkt 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: 11/18/2015
Membership Activities:
 Clearance
 International Tele #

SEC #: 8- 23522
 CRD #: 13071

AXOS CLEARING LLC

15950 West Dodge Road - Suite 300
 Omaha NE 68118
 Tele #: (402) 384-6100

Approval Date: 4/11/2022
Membership Activities:
 Clearance
 International Tele #

SEC #: 8- 53595
 CRD #: 117176

BARCLAYS CAPITAL INC.

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

Approval Date: 12/7/2012
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: 8/1/2022
Membership Activities:
 Primary Lead, Lead & Registered Market Maker
 International Tele #

SEC #: 8- 66612
 CRD #: 132605

BMO CAPITAL MARKETS CORP.

151 W. 42nd Street, 9th Floor
 New York NY 10036
 Tele #: (212) 885-4000

Approval Date: 10/10/2014
Membership Activities:
 Order Entry & Clearance
 International Tele #

SEC #: 8- 34344
 CRD #: 16686

BNP PARIBAS SECURITIES CORP.

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

Approval Date: 4/21/2014
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: 11/1/2018
Membership Activities:
 Order Entry & Clearance
 International Tele #

SEC #: 8- 69787
 CRD #: 283942

CITADEL SECURITIES LLC

200 South Biscayne Blvd., 33rd Floor
Miami FL 33131
Tele #: (312) 395-2100

Approval Date: 12/7/2012

SEC #: 8- 53574

Membership Activities:

CRD #: 116797

Primary Lead/Lead/Reg. Mkt Maker/Order Entry/Clearance

International Tele #

CITIGROUP GLOBAL MARKETS INC.

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

Approval Date: 5/1/2019

SEC #: 8- 8177

Membership Activities:

CRD #: 7059

Order Entry & Clearance

International Tele #

CLEAR STREET LLC

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

Approval Date: 4/1/2024

SEC #: 8- 69972

Membership Activities:

CRD #: 288933

Clearance

International Tele #

DASH FINANCIAL TECHNOLOGIES LLC

200 S. Wacker Drive, Ste. 2450
Chicago IL 60606
Tele #: (312) 986-2006

Approval Date: 12/7/2012

SEC #: 8- 52503

Membership Activities:

CRD #: 104031

Order Entry & Clearance

International Tele #

DRW SECURITIES, L.L.C.

540 West Madison, Ste. 2500
Chicago IL 60661
Tele #: (312) 542-1000

Approval Date: 8/31/2015

SEC #: 8- 51241

Membership Activities:

CRD #: 45908

Market Maker

International Tele #

GLOBAL EXECUTION BROKERS, LP

401 City Avenue, Ste. 200
Bala Cynwyd PA 19004
Tele #: (610) 617-2600

Approval Date: 12/7/2012

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: 1/15/2013

SEC #: 8- 129

Membership Activities:

CRD #: 361

Order Entry & Clearance

International Tele #

GROUP ONE TRADING LLC

425 S. Financial Place - Ste. 3400
Chicago IL 60605
Tele #: (312) 347-8864

Approval Date: 10/20/2014

SEC #: 8- 47762

Membership Activities:

CRD #: 37484

Primary Lead, Lead, Registered Market Maker & 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: 3/29/2017

SEC #: 8- 68430

Membership Activities:

CRD #: 152144

Market Maker/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: 8/26/2014

SEC #: 8- 52600

Membership Activities:

CRD #: 104143

Primary Lead, Lead & Registered Market Maker
 International Tele #

INSTINET, LLC

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

Approval Date: 3/27/2013

SEC #: 8- 23669

Membership Activities:

CRD #: 7897

Order Entry & Clearance
 International Tele #

INTERACTIVE BROKERS LLC

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

Approval Date: 12/7/2012

SEC #: 8- 47257

Membership Activities:

CRD #: 36418

Order Entry & Clearance
 International Tele #

J.P. MORGAN SECURITIES LLC

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

Approval Date: 12/7/2012

SEC #: 8- 35008

Membership Activities:

CRD #: 79

Order Entry & Clearance
 International Tele #

JANE STREET CAPITAL, LLC

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

Approval Date: 4/2/2018

SEC #: 8- 52275

Membership Activities:

CRD #: 103782

Primary Lead, Lead Mkt Maker/Order Entry
 International Tele #

JANE STREET OPTIONS, LLC

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

Approval Date: 4/2/2018

SEC #: 8- 66813

Membership Activities:

CRD #: 134159

Primary Lead, Lead Mkt Maker/Order Entry
 International Tele #

JEFFERIES LLC

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

Approval Date: 9/15/2014

SEC #: 8- 15074

Membership Activities:

CRD #: 2347

Order Entry & Clearance
 International Tele #

JUMP TRADING, LLC

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

Approval Date: 12/9/2019

SEC #: 8- 52989

Membership Activities:

CRD #: 106124

Registered Market Maker
 International Tele #

MATRIX EXECUTIONS, LLC

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

Approval Date: 12/7/2012

SEC #: 8- 48255

Membership Activities:

CRD #: 38455

Order Entry
 International Tele #

MORGAN STANLEY & CO. LLC

1585 Broadway

New York NY 10036

Tele #: (212) 761-4000

Approval Date: 12/7/2012

SEC #: 8- 15869

Membership Activities:

CRD #: 8209

Order Entry/Clearance - Elect.

International Tele #

OLD MISSION CAPITAL, LLC

1 N. Dearborn Street - 8th Floor

Chicago IL 60602

Tele #: (312) 260-3052

Approval Date: 6/3/2024

SEC #: 8- 67867

Membership Activities:

CRD #: 146991

Market Maker

International Tele #

OPTIVER US LLC

130 E. Randolph Street, Ste. 800

Chicago IL 60601

Tele #: (312) 821-9500

Approval Date: 1/27/2015

SEC #: 8- 66083

Membership Activities:

CRD #: 128030

Primary Lead, Lead & Registered Market Maker

International Tele #

PEAK6 CAPITAL MANAGEMENT LLC

141 W. Jackson Blvd., Ste. 500

Chicago IL 60604

Tele #: (312) 444-8000

Approval Date: 7/22/2015

SEC #: 8- 8-50422

Membership Activities:

CRD #: 43773

Order Entry

International Tele #

PERSHING LLC

One Pershing Plaza - 10th Fl.

Jersey City NJ 07399

Tele #: (201) 413-2000

Approval Date: 3/12/2013

SEC #: 8- 17574

Membership Activities:

CRD #: 7560

Order Entry & Clearance

International Tele #

RQD* CLEARING, LLC

425 South Financial Place - Suite 910B

Chicago IL 60605

Tele #: (312) 692-5000

Approval Date: 12/7/2012

SEC #: 8- 66826

Membership Activities:

CRD #: 134284

Order Entry & Clearance

International Tele #

SIMPLEX TRADING, LLC

230 So. LaSalle St., Ste. 4-100

Chicago IL 60604

Tele #: (312) 360-2440

Approval Date: 9/20/2013

SEC #: 8- 68556

Membership Activities:

CRD #: 153585

Registered Market Maker & Order Entry

International Tele #

STG SECURITIES LLC

250 West 55th Street

New York NY 10019

Tele #: (646) 868-1720

Approval Date: 11/18/2025

SEC #: 8- 70947

Membership Activities:

CRD #: 322438

Market Maker, Elect.

International Tele #

SUSQUEHANNA INVESTMENT GROUP

401 City Avenue, Ste. 220

Bala Cynwyd PA 19004

Tele #: (610) 617-2600

Approval Date: 11/23/2016

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: 12/7/2012

SEC #: 8- 47034

Membership Activities:

CRD #: 35874

Primary Lead, Lead & Registered Market Maker
 International Tele #

TD SECURITIES (USA) LLC

One Vanderbilt Avenue
 New York NY 10017
 Tele #: (212) 827-7000

Approval Date: 7/18/2025

SEC #: 8- 36747

Membership Activities:

CRD #: 18476

Order Entry/Clearance - Elect.
 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

Primary Lead, Lead & Registered Market Maker
 International Tele #

UBS SECURITIES LLC

11 Madison Avenue
 New York NY 10010
 Tele #: (203) 719-3000

Approval Date: 12/7/2012

SEC #: 8- 22651

Membership Activities:

CRD #: 7654

Order Entry & Clearance
 International Tele #

VELOCITY CAPITAL LLC

8th Floor
 199 Water St
 New York NY 10038
 Tele #: (732) 848-0093

Approval Date: 7/9/2025

SEC #: 8- 69479

Membership Activities:

CRD #: 171810

Order Entry/Clearance - Elect.
 International Tele #

VIRTU AMERICAS LLC

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

Approval Date: 8/18/2025

SEC #: 8- 68193

Membership Activities:

CRD #: 149823

All Market Maker & Electronic Exchange Options Memberships
 International Tele #

WALLEYE TRADING LLC

2800 Niagara Lane North, Ste. 102
 Plymouth MN 55447
 Tele #: (952) 345-6611

Approval Date: 5/13/2015

SEC #: 8- 66988

Membership Activities:

CRD #: 136196

Registered 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: 12/7/2012

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: 4/11/2014

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: 12/7/2012
Membership Activities:
Order Entry & Clearance
International Tele #

SEC #: 8- 65336
CRD #: 120719

WOLVERINE TRADING, LLC

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

Approval Date: 12/7/2012
Membership Activities:
Primary Lead, Lead & Registered Market Maker
International Tele #

SEC #: 8- 47484
CRD #: 36848

X-CHANGE FINANCIAL ACCESS, LLC

440 So. LaSalle Street, Suite 2900
Chicago IL 60605
Tele #: (312) 235-0320

Approval Date: 11/28/2018
Membership Activities:
Order Entry & Clearance
International Tele #

SEC #: 8- 65860
CRD #: 126201

Total BD Firms 48