SR-MIAX-2014-71 Page 15 of 15

EXHIBIT 5

New text is <u>underlined</u>; Deleted text is in [brackets]

MIAMI INTERNATIONAL SECURITIES EXCHANGE, LLC Rules

Rule 807. Fingerprint-Based Background Checks[of Exchange Employees and Independent Contractors]

- (a) In order to enhance the physical security of the facilities, systems, data, and information of the Exchange, it shall be the policy of the Exchange to conduct a fingerprint-based criminal records check of all partners, directors, officers, and employees of the Exchange. [:
 - (1) all prospective and current Exchange employees,
- (2) all prospective and current independent contractors who have or are anticipated to have access to the facilities of the Exchange for ten (10) business days or longer, and
- (3) all prospective and current temporary employees who have or are anticipated to have access to facilities of the Exchange for ten (10) business days or longer.]

The Exchange shall apply this policy in all circumstances where permitted by applicable law.

- (b) The Exchange shall submit fingerprints obtained pursuant to the foregoing policy to the Attorney General of the United States or his or her designee for identification and processing. The Exchange shall at all times maintain the security of fingerprints and information received from the Attorney General or his or her designee.
- (c) The Exchange shall evaluate information received from the Attorney General or his or her designee in accordance with the terms of a written fingerprint policy and provisions of applicable law. A felony or serious misdemeanor conviction will be a factor in considering whether to hire a prospective employee[, take adverse employment action with respect to a current employee or to deny prospective or current independent contractors or temporary employees access to facilities of the Exchange].
- (d) A prospective employee who refuses to submit to fingerprinting shall be denied employment by the Exchange[, and a prospective independent contractor or temporary employee who refuses to submit to fingerprinting shall be denied access to facilities of the Exchange]. A current employee[, independent contractor, or temporary employee] who refuses to submit to fingerprinting will be terminated following notice and being given three (3) opportunities to submit.
