

14010720

Form 1 Page 1 Execution Page

## U.S. SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549

Date filed (MM/DD/YY)

OFFICIAL USE ONLY

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

03/10/14

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 to 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
	State the name of the applicant: EDGA Exchange, Inc.
	Provide the applicant's primary street address (Do not use a P.O. Box): 8050 Marshall Dr., Suite 120 Lenexa, Kansas 66214
	Lenexa, Kansas 66214
	Provide the applicant's mailing address (if different):
	Provide the business telephone and facsimile number:
	(913) 815-7000 (913) 815-7119 (Telephone) (Facsimile)
	(Telephone) (Facsimile)
	Provide the name, title and telephone number of a contact employee:
	Eric Swanson General Counsel, BATS Exchange, Inc. (212) 378-8523
	(Name) (Title) (Telephone Number)
	Provide the name and address of counsel for the applicant: Eric Swanson
	17 State Street, 32 <sup>nd</sup> Floor
	New York, NY 10004
	Provide the date that applicant's fiscal year ends: December 31
	Indicate legal status of the applicant: X Corporation Sole Partnership 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): 11/01/07 (b) State/Country of formation: Delaware/United States of America (c) Statute under which applicant was organized: General Corporation Law of the State of Delaware
e app chang firm 13. 2 auth ein, i	(a) Date (MM/DD/YY): 11/01/07 (b) State/Country of formation: Delaware/United States of America (c) Statute under which applicant was organized: General Corporation Law of the State of Delaware  TION: licant consents that service of any civil action brought by, or notice of any proceeding before, the Securities and the Commission in connection with the applicant's activities may be given by registered or certified mail of the delegram to the applicant's contact employee at the main address, or mailing address if different, given in Items of the undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with ority of said applicant. The undersigned and applicant represent that the information and statement contained.
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e app chang firm 13. 2 auth ein, i	(a) Date (MM/DD/YY): 11/01/07 (b) State/Country of formation: Delaware/United States of America (c) Statute under which applicant was organized: General Corporation Law of the State of Delaware  THON: licant consents that service of any civil action brought by, or notice of any proceeding before, the Securities and the Commission in connection with the applicant's activities may be given by registered or certified mail of the delegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2 for undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with ority of, said applicant. The undersigned and applicant represent that the information and statement contained neluding exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which a part hereof, are current, true and complete.  EDGA Exchange, Inc.
e app chang firme 13. 2 auth ein, i made	(a) Date (MM/DD/YY): 11/01/07 (b) State/Country of formation: Delaware/United States of America (c) Statute under which applicant was organized: General Corporation Law of the State of Delaware  TION: licant consents that service of any civil action brought by, or notice of any proceeding before, the Securities and the Commission in connection with the applicant's activities may be given by registered or certified mail of the telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2 the undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with ority of, said applicant. The undersigned and applicant represent that the information and statement contained necluding exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which a part hereof, are current, true and complete.    O3/10/14   EDGA Exchange, Inc. (Name of Applicant)
e app chang firmed 13. 2 auth ein, i made	(a) Date (MM/DD/YY): 11/01/07 (b) State/Country of formation: Delaware/United States of America (c) Statute under which applicant was organized: General Corporation Law of the State of Delaware  TION: licant consents that service of any civil action brought by, or notice of any proceeding before, the Securities and the Commission in connection with the applicant's activities may be given by registered or certified mail of the delegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2. The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with ority of, said applicant. The undersigned and applicant represent that the information and statement contained an apart hereof, are current, true and complete.  O3/10/14  EDGA Exchange, Inc.  (Name of Applicant)  Anders Franzon, VP. Associate General Counsel  (Printed Name and Tite)  by  Odd Applicant  Anders Franzon, VP. Associate General Counsel  (Printed Name and Tite)
e app chang firme 13. auth ein, i made te:	(a) Date (MM/DD/YY): 11/01/07 (b) State/Country of formation: Delaware/United States of America (c) Statute under which applicant was organized: General Corporation Law of the State of Delaware  TION: licant consents that service of any civil action brought by, or notice of any proceeding before, the Securities and the Commission in connection with the applicant's activities may be given by registered or certified mail of the delegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2. The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with ority of, said applicant. The undersigned and applicant represent that the information and statement contained necluding exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which the a part hereof, are current, true and complete.    O3/10/14



TERESA LAFFOON
NOTARY PUBLIC
STATE OF KANSAS
My App. Exp. 03-31-16

## <u>Exhibit M</u>

## **Exhibit Request:**

Provide an alphabetical list of all members, participants, subscribers or other users, including the following information:

- 1. Name,
- 2. Date of election to membership or acceptance as a participant, subscriber or other user,
- 3. Principal business address and telephone number,
- 4. If member, participant, 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, participant, 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 members, participants, subscribers, or other users in each, and
- 6. The class of membership, participation or subscription or other access.

## Response:

Attached please find a list of the current Members and Sponsored Participants accepted as Users of the Exchange.

Company Name	Date Approved by EDGA	Date Approved by EDGX	Address 1	Address 2	City	State	Postal Code		Type of User	Primary Activities
ABN AMRO Clearing Chicago LLC	5/25/2010	5/27/2010 5/27/2010	175 W. Jackson Blvd	4th Floor	Chicago	IL	60604	312-604-8020 952-345-8911	Member Member	Market Maker
Agency Trading Group, Inc. Albert Fried & Company, LLC	Terminated 5/18/2010	5/2//2010	235 East Lake Street 45 Broadway	24th Floor	Wayzata New York	MN NY	55391 10006	212-422-7299	Member	Agency
Allston Trading, LLC	5/25/2010	5/27/2010	440 S. LaSalle Street	Suite 1200	Chicago	IL	60605		Member	Proprietary
Alternet Securities, Inc.	5/25/2010	5/25/2010	380 Madison Ave	4th Floor	New York	NY	10017	212-444-6176	Member	Agency
Apex Clearing Corporation	6/5/2012	6/5/2012	1700 Pacific Avenue		Dallas	TX	75201	214-765-542	Member	Clearing Firm
Archipelago Securities, LLC	5/25/2010	5/27/2010 3/21/2012	100 S. Wacker Dr.	Suite 1800 21st Floor	Chicago New York	NY NY	60606 10022		Member Member	Exchange Market Maker
ATM Execution, LLC Automated Trading Desk Financial Services, LLC	3/21/2012 5/25/2010	5/27/2010	599 Lexington Avenue 12 East Wall Street	ZIST FIOOT	Mt Pleasant	SC		843-789-2112	Member	Proprietary
Barclays Capital, Inc.	5/14/2010	5/14/2010	745 7th Avenue		New York	NY	10019		Member	Institutional
BATS Trading, Inc.	5/14/2010	5/14/2010	8050 Marshal Drive	Suite 120	Lenexa	KS		913-815-7113	Member	Limited Routing Facility of BATS Exchange
Bay Crest Partners, LLC	5/25/2010	5/27/2010	40 Wall Street	40th Floor	New York	NY		212-480-1400	Member Member	Agency Proprietary
Belvedere Trading, LLC Bloomberg Tradebook, LLC	11/29/2011 5/14/2010	Term Requested 5/14/2010	10 S. Riverside Plaza 120 Park Ave	Suite 2100	Chicago New York	NY	10017	312-262-3420 212-617-3917	Member	Agency
Blue Fire Capital, LLC	5/25/2010	5/27/2010	311 S. Wacker Drive	Suite 2000	Chicago	IL.	60606	312-242-0500	Member	Proprietary
Bluefin Trading, LLC	8/13/2013	9/27/2013	3 Park Avenue	37th Floor	New York	NY	10016	646-963-2717	Member	Agency
BNP Paribas Securities, Corp.	5/25/2010	5/27/2010	787 Seventh Avenue		New York	NY	10019		Member	Proprietary
BTIG, LLC	5/25/2010	5/27/2010	450 Sansome Street	201 Flore	San Francisco	CA NY	94111	415-248-2204 212-433-5470	Member Member	Market Maker Proprietary
C & C Trading, LLC	5/25/2010 6/10/2010	5/27/2010 6/10/2010	120 Broadway 99 High Street	20th Floor	New York Boston	MA	10271	617-371-3900	Member	Market Maker
Canaccord Genuity, Inc. Cantor Fitzgerald & Co.	5/25/2010	5/27/2010	110 East 59th Street	15th Floor	New York	NY	10022		Member	Institutional / Agency
Capital Institutional Services, Inc.	5/25/2010	5/27/2010	1601 Elm Street	Suite 3900	Dallas	TX	75201	214-978-4761	Member	Agency
CastleOak Securities, LP	5/14/2010	5/14/2010	110 E. 59th Street	2nd Floor	New York	NY	10022		Member	Agency
Chopper Securities, LLC	5/11/2011	5/11/2011	141 W. Jackson	Suite 2201A	Chicago	IL 		312-628-3530	Member Member	Proprietary Market Maker
Citadel Securities, LLC Citigroup Global Markets, Inc.	5/14/2010 5/25/2010	5/14/2010 5/27/2010	131 South Dearborn Street 390-388 Greenwich Street	32nd Floor	Chicago New York	NY	60603 10013		Member	Full Service
CLSA Americas, LLC	5/21/2013	5/21/2013	1301 Avenue of the Americas		New York	NY	10019	212-408-5719	Member	Agency
Convergex Execution Solutions, LLC	5/25/2010	5/27/2010	1633 Broadway	48th Floor	New York	NY		212-468-7746	Member	Full Service
Convergex Prime Services, LLC	5/26/2010	5/27/2010	11175 Cicero Drive	200 Milton Park, Suite 575	Alpharetta	GA		678-405-4200	Member	Agency
Cowen & Company	5/14/2010	5/14/2010	1221 Avenue of the Americas	2-451	New York	NY			Member Member	Market Maker
Credit Suisse Securities (USA), LLC	5/25/2010 5/25/2010	5/27/2010 5/27/2010	11 Madison Avenue 111 Broadway	3rd Floor 10th Floor	New York New York	NY		212-538-1059 646-943-5451	Member	Full Service Market Maker
Cuttone & Co., Inc. Dart Executions, LLC	5/25/2010	5/27/2010	230 S. Lasalle Street	Suite 400	Chicago	IL.			Member	Proprietary
DE Route	6/10/2010	6/10/2010	545 Washington Blvd.	6th Floor	Jersey City	NJ	07310	201-942-8228	Member	Exchange
Deutsche Bank Securities, Inc.	5/21/2010	5/21/2010	60 Wall Street		New York	NY		212-250-5762	Member	Full Service
DRW Securities, LLC	5/25/2010	5/27/2010	540 West Madison Street	Suite 2500	Chicago	IL.	60661		Member Member	Proprietary / Market Maker
E*TRADE Securities, LLC	Non-Member	6/10/2010	1271 Avenue of the Americas	14th Floor Suite 3510	New York Chicago	NY		703-236-8656 312-986-6262	Member	Agency Market Maker
Electronic Brokerage Systems, LLC Electronic Transaction Clearing, Inc.	6/9/2010 5/25/2010	6/9/2010 5/27/2010	141. W. Jackson Street 660 S. Figueroa Street	Suite 3510 Suite 1450	Los Angeles	CA		213-401-1563	Member	Market Maker
Essex Radez, LLC	5/10/2010	5/14/2010	440 S. Lasalle Street	Suite 2101	Chicago	IL		312-212-1815 Ext: 202	Member	Service Bureau
First New York Securities, LLC	6/10/2010	6/10/2010	90 Park Avenue	5th Floor	New York	NY	10016	212-848-0875	Member	Proprietary
Flow Traders U.S. LLC	2/28/2014	2/28/2014	1140 Avenue of the Americas	4th Floor	New York	NY		914-479-9944	Member	Proprietary
G1 Execution Services, LLC	5/18/2010	5/18/2010	440 S. Lasalle Street	Suite 3030	Chicago Walnut	IL CA		312-294-7782 909-393-8899	Member Member	Market Maker Retail
Global American Investments, Inc. Goldman Sachs Execution & Clearing LP	3/5/2012 5/14/2010	3/5/2012 5/14/2010	20277 Valley Blvd. 440 S. LaSalle Street	Suite A10 Suite 1654	Chicago	11		212-357-8548	Member	Full Service
Goldman, Sachs & Co.	5/14/2010	5/14/2010	85 Broad Street	3011C 2034	New York	NY		212-357-8547	Member	Full Service
Hap Trading, LLC	6/2/2010	6/2/2010	33 Whitehall Street	6th Floor	New York	NY	10004	212-380-5186	Member	Proprietary
Hardcastle Trading USA, LLC	5/25/2010	5/27/2010	755 Secaucus Road	Suite F1110	Secacaus	NJ		443-541-8400	Member	Proprietary
HRT Financial LLC	5/18/2010	5/18/2010	32 Old Slip	30th Floor	New York	NY		212-239-1929 212-341-9950	Member Member	Proprietary . Agency
ICAP Corporates, LLC IEX Services, LLC	3/28/2013 9/24/2013	N/A 9/24/2013	Harborside Financial Center, 1100 Plaza 5  7 World Trade CTR	12th Floor 30th Floor	Jersey City New York	NY		646-568-2324	Member	ATS
IMC Financial Markets	5/25/2010	5/27/2010	233 South Wacker Street	Suite 4300	Chicago	IL.		312-244-3313	Member	Proprietary
Imperial Capital, LLC	5/25/2010	5/27/2010	2000 Avenue of the Stars	Suite 900-S	Los Angeles	CA	90067		Member	Market Maker
Instinet, LLC	5/14/2010	5/14/2010	3 Times Square	7th Floor	New York	NY		212-310-7763	Member	Agency
Interactive Brokers, LLC	5/25/2010	5/27/2010	One Penwick Plaza	2nd Floor	Greenwich New York	CT NY		203-618-5882	Member Member	Full Service Agency
ITAU BBA USA Securities, Inc. ITG, Inc.	Non-Member 2/25/2010	4/5/2012 5/27/2010	767 Fifth Avenue One Liberty Plaza, 165 Broadway		New York	NY		212-444-6342	Member	Agency
J.P. Morgan Securities, LLC	5/14/2010	5/14/2010	383 Madison Avenue		New York	NY		201-595-8471	Member	Agency / Proprietary
Jane Street Capital, LLC	5/14/2010	5/14/2010	One New York Plaza	33rd Floor	New York	NY		212-651-6032	Member	Full Service
Jefferies Execution Services, Inc.	5/25/2010	5/27/2010	521 Madison Avenue	11th Floor	New York	NY		212-248-2450	Member	Full Service
Jefferies, LLC	5/25/2010	5/27/2010	520 Madison Avenue	11th Floor	New York	NY 		212-248-2449 312-205-8721	Member Member	Full Service Proprietary
Jump Trading, LLC	5/14/2010 1/3/2011	5/14/2010 1/3/2011	600 W. Chicago 545 Washington Blvd.	#825 2nd Floor	Chicago Jersey City	NJ	-	201-356-1390	Member	Agency
KCG Americas LLC Keefe, Bruyette & Woods, Inc.	6/8/2010	6/8/2010	787 Seventh Avenue	4th Floor	New York	NY		212-887-6770	Member	Agency
Kepler Capital Markets, Inc.	7/17/2013	7/17/2013	600 Lexington Avenue	28th Floor	New York	NY	10022	212-710-7625	Member	Agency
L&R Trading, LLC	8/12/2013	8/12/2013	120 Broadway	Suite 2040	New York	NY		212-433-7262	Member	Market Maker
Lampert Capital Markets Inc.	2/26/2014	2/26/2014	477 Madison Ave	Suite 230	New York	NY		646-833-4926	Member Member	Institutional / Agency Proprietary
Latour Trading LLC	5/26/2010	5/27/2010	377 Broadway 388 Greenwich Street	10th Floor 29th Floor	New York New York	NY		917-388-8619 212-723-9247	Member	Agency
Lavaflow, Inc. Lazard Capital Markets, LLC	5/26/2010 5/14/2010	5/27/2010 5/14/2010	30 Rockefella Plaza	60th Floor	New York	NY		212-632-1594	Member	Institutional
Leerink Partners LLC	5/26/2010	5/27/2010	One Federal Street	37th Floor	Boston	МА	02110	617-918-4017	Member	Agency
LEK Securities Corporation	5/26/2010	5/27/2010	165 Broadway	52nd Floor	New York	NY		212-509-2300	Member	Agency
Lightspeed Trading, LLC	5/19/2010	5/19/2010	500 North Broadway	Suite 142 12th Floor	Jericho New York	NY NY		516-942-2459 212-219-6080	Member Member	Proprietary Agency
Lime Brokerage, LLC Macquarie Capital (USA), Inc.	5/26/2010 5/26/2010	5/27/2010 5/27/2010	625 Broadway 125 West 55th Street	Level 22	New York New York	NY		212-219-6080	Member	Agency
Macquarie Capital (USA), Inc.  Merrill Lynch Professional Clearing Corp.	5/14/2010	5/2//2010	222 Broadway - 6th Floor	NY3-222-0617	New York	NY		646-7431276	Member	Full Service
Merrill Lynch, Pierce, Fenner & Smith, Inc.	5/14/2010	5/14/2010	One Bryant Park	6th Floor	New York	NY	10036	904-218-4124	Member	Clearing Firm
Mismi, Inc.	11/21/2011	5/27/2010	810 7th Avenue	Suite 2200	New York	NY		646-839-6105	Member	ATS
Mitsubishi UFJ Securities (USA), Inc.	5/26/2010	5/27/2010	1633 Broadway	29th Floor 4th Floor East	New York Stamford	NY CT	<del></del>	212-405-7180 203-987-4005	Member Member	Institutional / Agency Agency
MKM Partners, LLC Monadnock Capital Management, LP	5/14/2010 5/26/2010	5/14/2010 5/27/2010	300 First Stamford Place 1900 Market Street	Suite 616	Philadelphia	PA		215-405-7280	Member	Proprietary / Market Maker
Monadnock Capital Management, LP  Morgan Stanley & Co., LLC	5/14/2010	5/14/2010	1 New York Plaza		New York	NY		443-627-6477	Member	Full Service
Nasdaq Execution Services, LLC	5/26/2010	5/27/2010	One Liberty Plaza	1650 Broadway	New York	NY	10006	212-401-8982	Member	Exchange
National Financial Services, LLC	5/26/2010	5/27/2010	200 Seaport Blvd	Mail Zone Z1N	Boston	MA		617-392-8447	Member	Retail / Agency
Newedge USA, LLC	5/26/2010	5/27/2010	630 5th Avenue	Suite 500	New York	NY		646-557-8458	Member Member	Full Service
Nomura Securities International, Inc.	5/26/2010 5/26/2010	5/27/2010 5/27/2010	2 World Financial Center 50 South LaSalle Street	Bldg. B, 6th Floor	New York Chicago	NY IL		212-667-1416	Member	Institutional Market Maker
Northern Trust Securities, Inc. OBD Securities LLC	2/9/2012	2/9/2012	150 N. Michigan Avenue	Suite 3700	Chicago	IL.		312-768-1629	Member	Proprietary
Old Mission Capital, LLC	4/25/2012	4/25/2012	601 S. LaSalle Street	3rd Floor	Chicago	IL	60605	646-279-5016	Member	Proprietary
Oppenheimer & Co., Inc.	5/14/2010	5/14/2010	300 Madison Ave	5th Floor	New York	NY		212-667-7307	Member	Agency
PDQ ATS, Inc.	5/26/2010	5/27/2010	2624 Patriot Blvd		Glenview	IL		224-521-2494	Member	ATS
Pershing, LLC	5/26/2010	5/27/2010	One Pershing Plaza 120 Broadway	Suite 2010-01	Jersey City New York	NJ NY -		201-413-2130 917-714-5376	Member Member	Agency
Pico Quantitative Trading, LLC Pictet Overseas, Inc.	6/10/2010 5/26/2010	6/10/2010 5/27/2010	1000 de la Gauchetiere Ouest	Bureau 3100	Montreal	Quebec		514-350-6263	Member	Agency
Piper Jaffray & Co.	5/14/2010	5/14/2010	800 Nicollet Mall		Minneapolis	MN		612-303-6359	Member	Market Maker
Potamus Trading, LLC	4/11/2013	4/11/2013	2 Seaport Lane	5th Floor	Boston	MA		617-855-8722	Member	Proprietary / Market Maker
	5/17/2011	5/17/2011	30 Montgomery Street	1 .	Jersey City	NJ	07302	646-214-5600	Member	Clearing Firm
Quantex Clearing, LLC								.l		
Quantex Clearing, LLC Quantlab Securities, LP	5/26/2010	5/27/2010	4200 Montrose Blvd	Suite 200	Houston	TX		713-333-5445	Member	Proprietary
Quantex Clearing, LLC				Suite 200 12th Floor		TX NY MN	10018	713-333-5445 212-832-6283 212-858-7118	Member Member Member	Proprietary Agency Market Maker

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RGM Securities, LLC	5/26/2010	5/27/2010	221 West 6th Street	Suite 2030	Austin	TX	78701	512-807-5302	Member	Proprietary
River Cross Securities, LLLP	6/10/2010	Terminated	401 City Avenue	Suite 220	Philadelphia	PA	19004	484-562-1253	Member	ATS
Ronin Capital, LLC	6/8/2012	6/8/2012	350 North Orleans Street	Suite 2N	Chicago	IL	60654	312-244-5201	Member	Proprietary / Market Maker
Rosenblatt Securities, Inc.	5/26/2010	5/27/2010	20 Broad Street	Suite 2602	New York	NY	10005	212-607-3120	Member	Agency
Safra Securities Corporation	5/26/2010	5/27/2010	546 Fifth Avenue		New York	NY	10010	212-704-5524	Member	Market Maker
Sanford C. Bernstein & Co., LLC	5/26/2010	5/27/2010	One North Lexington Ave	17th Floor	White Plains	NY	10601	212-969-6997	Member	Agency
Scotia Capital (USA), Inc.	5/26/2010	5/27/2010	165 Broadway	25th Floor	New York	NY	10006	212-225-6725	Member '	Institutional
Scottrade, Inc.	5/26/2010	5/27/2010	12800 Corporate Hill Drive		St. Louis	мо	63131	314-965-1555 EXT: 1196	Member	Retail
Sea Port Group Securities LLC	4/1/2013	N/A	360 Madison Avenue		New York	NY	10017	212-616-7771	Member	Agency
Seven Points Capital, LLC	5/14/2010	Term Requested	825 Third Avenue	2nd Floor	New York	NY	10022	212-760-0760	Member	Agency
SG Americas Securities, LLC	5/14/2010	5/14/2010	480 Washington Blvd.	21st. Floor	Jersey City	NJ	07310	212-278-6412	Member	Proprietary
Southwest Securities, Inc.	Non-Member	5/21/2013	1201 Elm Street	Suite 3500	Dallas	TX	75270-2180	214-859-1721	Member	Clearing Firm
Spot Trading L.L.C.	1/25/2013	1/25/2013	440 S. LaSalle Street	Suite 2800	Chicago	IL .	60605	312-362-4695	Member	Proprietary
Stifel, Nicolaus & Company, Incorporated	6/2/2010	6/2/2010	501 North Broadway		St. Louis	мо	63102	314-342-2100	Member	Agency
Stock USA Execution Services, Inc.	5/26/2010	5/27/2010	1717 Route 6	Suite 102	Carmel	NY	10512	800-874-3039	Member	Agency
Sun Trading, LLC	5/26/2010	5/27/2010	100 S. Wacker	Suite 300	Chicago	IL	. 60606	312-229-9636	Member	Proprietary
SunGard Brokerage & Securities Services LLC	5/6/2010	5/6/2010	545 Washington Blvd.	7th Floor	Jersey City	NJ	07310	312-356-1400	Member	Agency
SunTrust Robinson Humphrey, Inc.	5/18/2010	5/18/2010	303 Peach Tree Road NE		Atlanta	GA	30326	404-813-0837	Member	Agency
Susquehanna Capital Group	5/26/2010	5/27/2010	401 City Avenue	Suite 220	Philadelphia	PA	19004	610-617-2624	Member	Institutional / Agency
Susquehanna Financial Group, LLLP	5/26/2010	5/27/2010	401 City Avenue	Suite 221	Philadelphia	PA .	19004	610-617-2624	Member	Institutional / Agency
TD Ameritrade Clearing, Inc.	Terminated	5/27/2010	1005 N. Ameritrade Place		Bellevue	NE .	68005	402-970-5271	Member	Agency
Themis Trading, LLC	Terminated	5/27/2010	10 Town Square	Suite 100	Chatham	NJ	07928	973-665-9600	Member	Agency
Tradebot Systems, Inc.	5/26/2010	5/27/2010	1251 NW Briarcliff Parkway	Suite 700	Kansas City	мо	64116	816-285-6416	Member	Proprietary
Tradestation Securities, Inc.	5/25/2010	5/25/2010	8050 SW 10th Street	Suite 2000	Plantation	FL	33324	954-652-7736	Member	Market Maker
Two Sigma Securities, LLC	5/27/2010	5/27/2010	379 West Broadway	3rd Floor	New York	NY	10012	646-292-6643	Member	Proprietary
UBS Securities LLC	4/12/2010	4/12/2010	677 Washington Blvd		Stamford	ст	06901	203-719-4379	Member	Full Service
Viewtrade Securities, Inc.	6/10/2010	6/10/2010	7280 West Palmeto	Suite 105	Boca Raton	FL	33432	561-620-0306	Member	Agency
Virtu Financial BD LLC	5/27/2010	5/27/2010	645 Madison Avenue	16th Floor	New York	NY	10022	212-418-0188	Member	Proprietary
Virtu Financial Capital Markets LLC	5/25/2010	5/27/2010	1540 Second Street	3rd Floor	Santa Monica	CA	90401	310-651-9746	Member	Proprietary
Vision Financial Markets, LLC	7/13/2012	7/3/2012	4 High Ridge Park	Suite 100	Stamford	ст	06905-1325	203-388-2675	Member	Retail
Volant Liquidity, LLC	5/27/2010	5/27/2010	7 World Trade Center	Suite 3301	New York	NY	10007	646-484-3005	Member	Proprietary
Wall Street Access	5/27/2010	5/27/2010	17 Battery Place	11th Floor	New York	NY .	10004	212-709-9453	Member	Agency ·
Walleye Trading LLC	5/27/2010	5/27/2010	14601 27th Avenue N.	Suite 102	Plymouth	MN	55447	952-345-5230	Member	Market Maker
Wedbush Securities, Inc.	5/27/2010	5/27/2010	1000 Wilshire Blvd	Suite 900	Los Angeles	CA	90017	213-688-4528	Member	Market Maker
Wells Fargo Prime Services, LLC	5/26/2010	5/26/2010	101 California St.	Suite 3050	San Fransisco	CA	94111	415-848-0269	Member	Market Maker
Wells Fargo Securities, LLC	6/9/2010	6/9/2010	301 S. College Street	TW-8	Charlotte	NC	28288	704-383-1725	Member	Agency
White Bay PT LLC	8/20/2012	8/20/2012	140 Broadway	38th Floor	New York	NY	10005	415-293-3821	Member	Proprietary
Wolverine Execution Services, LLC	5/14/2010	5/14/2010	175 W.Jackson Blvd.	Suite 200	Chicago	IL	60604	312-884-3878	Member	Market Maker
Xambala Capital, LLC	2/17/2012	2/17/2012	640 W. California Avenue	#220	Sunnyvale	CA	94086	408-990-1940	Member	Proprietary
XR Securities LLC	5/10/2012	5/10/2012	550 West Jackson Blvd.	Suite 1000	Chicago	IL	60661	312-244-4602	Member	Proprietary

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