#### Form 1 Page 1 Execution Page

# UNITED STATES 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

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 OF	CRIMINAL VIOLATIONS
□ APPLICATION □ AMENDI	MENT
. State the name of the applicant: Topaz Exchange, LLC	1 (ANTIR: 1184) APRIL FROM ANTIR JURIS JURIS (1881 1881 1881 1881 1881
Provide the applicant's primary street address (Do not use a P.O. Box):	
60 Broad Street, 26th Floor, New York, NY 10004	1   14010817   1401   1
Provide the applicant's mailing address (if different):  N/A	SECURITIES AND EXCHANGE COMMISSION SECURITIES AND EXCHANGE COMMISSION RECEIVED
4. Provide the applicant's business telephone and facsimile number: 212-943-2400 / fax: 212-509-3955	FEB*14*200
(Telephone) (Facsimile)	Division of Brading and Markets
Provide the name, title, and telephone number of a contact employee:	212-897-8152
(Name) (Title) (Te	lephone Number)
6. Provide the name and address of counsel for the applicant:  Michael J. Simon	<u> </u>
60 Broad Street, 26th Floor	
New York, NY 10004	
December 31, 2013	
7. Provide the date applicant's fiscal year ends:	
8. Indicate legal status of applicant:   Corporation  Sole Proprietor  Limited Liability Company  Other (specify):	ship
If other than a sole proprietor, indicate the date and place where applicant obta where incorporated, place where partnership agreement was filed or where (a) Date (MM/DD/YY):  May 30, 2012  (b) State/Country of formation:	ained its legal status (e.g. state e applicant entity was formed):
(c) Statute under which applicant was organized:	
EXECUTION: The applicant consents that service of any civil action brought by, or notice of any exchange Commission in connection with the applicant's activities may be given by registered or cert applicant's contact employee at the main address, or malling address if different, given in Items 2 and sworn, deposes and says that he/she has executed this form on behalf of, and with the authority of, applicant represent that the information and statements contained herein, including exhibits, schedule and other information filed herewith, all of which are made a part hereof are current, true, and complete the contained herein including exhibits.	ified mail or confirmed telegram to the I.S. The undersigned, being first duly said applicant. The unders igned and es, or other documents att ached hereto,
(Name of applicant)  Ronan Cahill, Legal Associate	
By:  (Signature)  Subscribed and sworn before me this 12 H day of February, 2014 by (No. (No. (No. (No. (No. (No. (No. (No.	ne and Title and Public
My Commission expires 7/10/14 County of Nassau State of A	ICW YOYK
This page must always be completed in full with original, manual signatu Affix notary stamp or seal where applicable.	SAMIR PATEL

Notary Public - State of New York NO. 02PA6149278

Qualified in Nassau County My Commission Expires



#### VIA FEDERAL EXPRESS

Chris Grobbel
U.S. Securities and Exchange Commission
Division of Market Regulation
Office of Market Supervision
100 F Street NE
Mail Stop 6628
Washington, DC 20549

Re:

Topaz Exchange, LLC

SEC Rule 6a-2 and 6a-3 Materials

Dear Mr. Grobbel:

Pursuant to Rule 6a-2(a) of the Securities Exchange Act of 1934, this is an update of the Topaz Exchange, LLC's ("Topaz") Form 1.

In addition, pursuant to Rule 6a-3(a), within the last 10 days, Topaz issued or has made available certain material to its members, participants or subscribers. The material can be found at the following locations on Topaz's website:

#### **Options**

New Listings:

http://ise.com/newlistings

Delistings:

http://ise.com/delistings

**Expiration Notices:** 

http://ise.com/expirationnotices

Series Additions/Deletions:

http://ise.com/serieslist

Market Information Circulars:

http://ise.com/mics

#### **Index Options**

Recent Index Changes:

http://ise.com/newlistings

Index Settlement Values:

http://www.ise.com/options/products-traded/index-settlement-values

## Legal & Regulatory

Regulatory Information Circulars:

http://www.ise.com/rics

Rules:

http://www.ise.com/rules

## **Marketing Material**

Press Releases:

http://www.ise.com/press-room/press-releases/

Publications:

http://www.ise.com/publications

If you have any questions on these materials, please do not hesitate to contact me at (212) 897-8152.

Sincerely,

Ronan Cahill

Senior Legal & Regulatory Associate

## Exhibit M

## Approved Members:

Benchmark Company, LLC 40 Fulton Street, 19th Floor New York, NY 10038 Contact: Robert Bell (212)312-6703 Electronic Access Member

Electronic Access Member