		C	OP	Ŭ	<del></del>
For		U.S. SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549	Date filed (MM/DD/YY)	OFFICIA USE	
Pag Executio	on Page	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	05/27/14	ONLY	
		re to keep this form current and to file accurate supplementary information on a trate books and records or otherwise to comply with the provisions of law applying to late the federal securities laws and may result in disciplinary, administrative or crimin			
	<u></u>	INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS		2014	
		PLICATION AMENDMENT		2014 MAY 28 SEC /	
1. 2.	Provide 8050 M	e name of the applicant: <u>BATS Y-Exchange. Inc.</u> the applicant's primary street address (Do not use a arshall Dr., Suite 120 Kansas 66214 14011223		28 PM 2: 43 C / MR	
3.	Provide	the applicant's mailing address (if different):		ີ <del>ເ</del>	
4.		the business telephone and facsimile number: 15-7000 (913) 815-7119 (Telephone) (Facsimile)			
<b>5</b> .	Eric Sv	the name, title and telephone number of a contact employee: <u>ranson</u> <u>General Counsel, BATS Y-Exchange, Inc.</u> (212) 378- arne) (Title) (Telephone N			
<b>6</b> .	<u>Eric Sv</u>				
		s Street	<u> </u>		
7.	Provide	the date that applicant's fiscal year ends: December 31			
8.	Indicat	e legal status of the applicant: <u>X</u> Corporation Sole Partnership Limited Liability Company Other (sp	_Partnership pecify):		
	where (a) Dat	r than a sole proprietor, indicate the date and place where applicant obtained its le incorporated, place where partnership agreement was filed or where applicant entity v e (MM/DD/YY): <u>7/30/09</u> (b) State/Country of formation: <u>Delaware/United States of</u> tute under which applicant was organized: <u>General Corporation Law of the State of I</u>	was formed): <u>[America</u>		
The app Exchan confirm and 3. the auth herein,	ge Comm led telegran The under hority of, including	sents that service of any civil action brought by, or notice of any proceeding before ission in connection with the applicant's activities may be given by registered in to the applicant's contact employee at the main address, or mailing address if different signed, being first duly sworn, deposes and says that he/she has executed this form of said applicant. The undersigned and applicant represent that the information and exhibits, schedules, or other documents attached hereto, and other information filed here of, are current, true and complete.	or certified mail or rent, given in Items 2 in behalf of, and with statement contained		
Date: _ By:(	<u>^</u>	(Name of Applicant) Anders Franzon, VP, Associate Ger	eral Counsel		
Subscri	(Signa) ibed and sv	vom before me this <u>TTH</u> day of <u>May</u> , <u>2014</u> by <u>UMaga</u> (Month) (Year) (Notary Pu	allon.		
My Co	mmission	expires 03-21-2015 County of Jehnson State of Kan	505		
-		page must always be completed in full with original, manual signature and nota			

TERESA LAFFOON NOTARY PUBLIC STATE OF KANSAS BTATE OF KANSAS MY App. Exp. 03-37-3016

## Exhibit M

RECEIVED 2014 MAY 28 PM 2: 43 SEC / MR

## **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 BATS	Address	Phone Number	Type of User	Primary Activities
4C Capital, Inc.	4/15/2011	8787 Shade Tree Circle Lakewood, IL 60014	847-770-3565	Sponsored Participant	Proprietary
Abel/Noser Corp.	9/1/2010	One Battery Park Plaza 6th floor New York, NY 10004	646-432-4040	Member	Agency
ABN AMRO Clearing Chicago, LLC	10/1/2010	175 W Jackson Boulevard Suite 400 Chicago, IL 60604	312-604-8643	Member	Market Maker
Access Securities, LLC	11/15/2010	30 Buxton Farm Road Suite 300 Stamford, CT 06905	203-322-3377	Member	Agency
Albert Fried & Company, LLC	4/15/2011	45 Broadway 24th Floor New York, NY 10006	212-422-7282	Member	Agency
Algo Engineering, LLC	7/15/2011	7 World Trade Center 250 Greenwich Street New York, NY 10007	212-616-0190	Sponsored Participant	Proprietary
Allston Trading, LLC	10/1/2010	440 South LaSalle Street Suite 1200 Chicago, IL 60605	312-663-7174	Member	Proprietary
Alpine Securities Corporation	11/15/2010	39 Exchange Place Salt Lake City, UT 84111	801-355-5588	Member	Agency
Apex Clearing Corporation	6/5/2012	1700 Pacific Avenue Suite 1400 Dallas, TX 75201	214-765-1170	Member	Clearing Firm
Archipelago Securities LLC	9/1/2010	100 S. Wacker Drive Ste. 1800 Chicago, IL 60606	312-442-7046	Member	Exchange
Ascendiant Capital Markets, LLC	4/1/2011	18881 Von Karman 16th Floor Irvine, CA 92612	949-218-2486	Member	Agency
Athena Capital Research, LLC	10/20/2010	440 Ninth Avenue 11th Floor New York, NY 10001	212-931-9056	Sponsored Participant	Proprietary
ATM Execution LLC (formerly Cowen Capital, LLC)	3/15/2012	599 Lexington Avenue 21st Floor New York, NY 10022	646-562-1554	Member	Market Maker
Automated Trading Desk Financial Services, LLC	9/15/2010	11 Ewall Street Mount Pleasant, SC 29464	843-789-2166	Member	Proprietary
Avatar Securities, LLC	4/1/2011	19 West 24th Street 8th Floor New York, NY 10010	646-435-0167	Sponsored Participant	Proprietary
Barclays Capital, Inc.	10/1/2010	745 7th Avenue New York, NY 10019	212-412-2125	Member	Institutional
BATS Trading, Inc.	9/1/2010	8050 Marshall Drive Suite 120 Lenexa, KS 66214	913-815-7000	Member	Limited Routing Facility of BYX
Belvedere Trading, LLC	3/1/2012	10 S. Riverside Plaza #2100 Chicago, IL 60606	312-262-3420	Member	Proprietary
Blitztrade, LLC	6/15/2011	1901 W. 47th Place Suite 310 Westwood, KS 66205	816-714-3960	Sponsored Participant	Proprietary
Bloomberg Tradebook, LLC	10/4/2010	1633 Broadway 48th Floor New York, NY 10019	212-617-1184	Member	Agency
Blue Fire Capital, LLC	10/8/2010	311 South Wacker Drive Suite 2000 Chicago, IL 60606	312-242-0504	Member	Proprietary
BMO Capital Markets Corp.	11/15/2010	3 Times Square New York, NY 10036	212-885-4045	Member	Agency
BNP Paribas Prime Brokerage, Inc.	12/3/2012	787 7th Avenue New York, NY 10019	917-472-4991	Member	Clearing Firm
BNP Paribas Securities Corp.	9/15/2010	787 Seventh Avenue New York, NY 10019	212-841-3676	Member	Proprietary
BTIG, LLC	11/15/2010	600 Montgomery Street 6th Floor San Francisco, CA 94111	415-248-2225	Member	Market Maker
C&C Trading, LLC	10/11/2010	111 Broadway Suite 808 New York, NY 10006	212-433-7589	Member	Proprietary
Canaccord Genuity, Inc.	10/1/2013	350 Madison Avenue New York, NY 10017	212-389-8156	Member	Market Maker
Canadian Imperial Holdings, Inc.	11/15/2010	300 Madison Avenue 5th Floor New York, NY 10017	212-856-3877	Sponsored Participant	Proprietary
CF Global Trading, LLC	1/3/2011	99 Park Avenue Suite 1710 New York, NY 10016	212-888-4673	Member	Market Maker
Chopper Securities, LLC	5/16/2011	141 West Jackson Boulevard Suite 2201A Chicago, IL 60604	312-628-3530	Member	Proprietary
Chopper Trading, LLC	10/20/2010	141 West Jackson Boulevard Suite 2201A Chicago, IL 60604	312-628-3530	Sponsored Participant	Proprietary
CIBC World Markets Corp.	11/15/2010	425 Lexington Avenue New York, NY 10017	212-667-7030	Member	Proprietary
Citadel Securities, LLC	10/1/2010	131 South Dearborn Street 32nd Floor Chicago, IL 60603	312-756-4416	Member	Market Maker
Citigroup Global Markets, Inc.	12/15/2010	390-388 Greenwich Street New York, NY 10013	212-723-7700	Member	Full Service
CJS Securities, Inc.	3/15/2011	50 Main Street Suite 325 White Plains, NY 10606	914-287-7600	Member	Agency
Clearpool Execution Services, LLC	5/15/2014	17 State Street 38h Floor New York, NY 10004	212-531-8532	Member	Public Customer Business
CMT Fund XXV Limited	7/2/2012	500 West Monroe Street Suite 2630 Chicago, IL 60661	312-320-7897	Sponsored Participant	Agency
CMT Trading, LLC	3/17/2014	500 West Monroe Street Suite 2630 Chicago, IL 60661	312-612-6930	Member	Proprietary
Concept Capital Markets, LLC	3/15/2011	1010 Franklin Avenue Suite 303 Garden City, NY 11530	212-702-7198	Member	Agency
ConvergEx Execution Solutions, LLC (formerly BNY ConvergEx Execution Solutions, LLC)	9/1/2010	1633 Broadway 48th Floor New York, NY 10019	212-468-8466	Member	Full Service

Supplication of the sector	Company Name	Date Approved by BATS	Address	Phone Number	Type of User	Primary Activities
SoundsyntionInstantInstantInstantInstantInstantInstantSolvenstration1900 <td>CosvergEx Prime Services, LLC (formerly NorthPoint Trading Partners, LLC)</td> <td>10/1/2010</td> <td>Suite 200</td> <td>678-405-4200</td> <td>Member</td> <td>Agency</td>	CosvergEx Prime Services, LLC (formerly NorthPoint Trading Partners, LLC)	10/1/2010	Suite 200	678-405-4200	Member	Agency
SectorSect	Cowen and Company, LLC	10/7/2010	599 Lexington Avenue 20th Floor	646-562-1623	Member	Market Maker
onionatorial characterinstruction instruction instruction instruction instruction instruction 	Čredit Agricole Securities (USA), Inc.	10/5/2010	1301 Avenue of the Americas 13th Floor	212-261-3858	Member	Full Service
one serviceinstantinstantinstantinstantinstantinstantGene Service190019001900190019001900190019001900Gene Service190019001900190019001900190019001900<	Credit Suisse Securities (USA), LLC	10/1/2010	11 Madison Avenue 24th Floor	212-538-6067	Member	Full Service
And Res in the sectorInstant Res in the sectorInstant 	* Cutler Group, LP	10/6/2010	101 Montgomery Street Suite 700	415-293-3956	Member	Market Maker
Instantion	Cuttone & Co., Inc.	10/1/2010	111 Broadway 10th Floor	646-943-5420	Member	Market Maker
bndmachanenumber	DART Executions, LLC	10/1/2010	350 North Orleans Street Suite 2N	312-244-5408	Member	Proprietary
netnetNumN	Dash Financial, LLC (formerly Electronic Brokerage Systems, LLC), LLC	7/2/2012	180 W. Adams Street 6th Floor	312-986-6210	Member	Market Maker
InclusionLongenKarlagen	DE Route	10/4/2010	545 Washington Boulevard	212-479-2319	Member	ATS
Part AccordPart Accor	Deutsche Bank Securities, Inc.	10/11/2010		212-250-7635	Member	Full Service
Second data LLCSecond data LL	Direct Access Partners, LLC	11/1/2010	42nd Floor	212-850-8892	Member	Agency
bAK A. be:Branch Control (CAR VIEW) CONTRA VIEW (CAR VIEW) 	Divine Capital Markets, LLC	11/1/2010	39 Broadway 36th Floor	212-344-5867	Member	Agency
bybaushellnumebybaushesse reserved and the served reserved 	Doft & Co., Inc.	11/15/2010	55 East 59th Street 12th Floor	212-421-5558	Member	Agency
betworkmatchedung in111	DRW Securities, LLC	11/1/2010	540 West Madison Street Suite 2500	312-542-3226	Member	Proprietary / Market Maker
San Back LLCInitialSin Back LLCSin Back LLC <t< td=""><td>Electronic Transaction Clearing, Inc.</td><td>9/1/2010</td><td>660 S. Figueroa Street Suite 1450</td><td>213-402-1564</td><td>Member</td><td>Market Maker</td></t<>	Electronic Transaction Clearing, Inc.	9/1/2010	660 S. Figueroa Street Suite 1450	213-402-1564	Member	Market Maker
Number of the state	Essex Radez, LLC	10/1/2010	440 South LaSalle Suite 1111	312-212-1815	Member	Service Bureau
Sel Exclusion Service LLC (Immery 6" Twick Organization Service	Flow Traders US, LLC	8/1/2012	1095 Avenue of the Americas 24th Floor, Suite B	917-210-5020	Member	Hedge Fund
on tradem10000010000001000000000000000000000000000000000000	G1 Execution Services, LLC (formerly E*Trade Capital Markets, LLC)	12/1/2010	440 South LaSalle Suite 3030	312-986-8232	Member	Market Maker
BF Parking LLC     Prof Park Parkan     Park Parkan     Parking Parkan     Parking Parkan     Parking Parkan     Parking Parkan       GK In Ling     11/2011     60 AVT AMARIAN LLC     212-330-017     Member     Parkan Parkan       GK In Ling     11/2011     60 AVT AMARIAN LLC     212-330-017     Member     Parkan Parkan       GK In Ling     91/2020     312-24-400     Member     ATTA AMARIAN LLC     ATTA AMARIAN     Atta AMARIANANANANANANANANAN	GB Trading, LLC	10/21/2010	40 Fulton Street 17th Floor	212-379-5634		Agency
ODE, In::     OP APP APPRIA Price     212:303-6179     Member     Perpetaty       GETCO Encodes Services, LLC     91/5201     36/100 SAM     312:242-4600     Member     ATS       GETCO Encodes Services, LLC     91/5201     26/100 Sam     312:242-4600     Member     ATS       Geber Annotes Members, Inc.     21/52012     Services, LEGOMA     71/43-4617     Member     Retail       Geber Annotes Members, Inc.     21/52012     Services, LEGOMA     71/43-4616     Spectram     Retail       Geber Encodes Brockes, LP     109/2010     51/52012     71/43-4616     Spectram     Retail     Spectram     Retail     Spectram	GB Trading, LLC	7/1/2011	40 Fulton Street 17th Floor	212-379-5634	Sponsored	Agency
QETO Election Brances, LLCSin 1992 (Section Brance Section Brance Dirich Brance 	GDK, Inc.	1/3/2011	c/o ART Advisors, LLC 500 Park Avenue	212-303-6179		Proprietary
Babba American Investments, Inc.2192022272 A 2021 Participation of the state of the stat	GETCO Execution Services, LLC	9/15/2010	350 North Orleans 3rd Floor South	312-242-4600	Member	ATS
Gold Excode Broker, LPInstead1095200109520010162/3013124354177NemberInsteadGold Liquid Parkers, LLC.15152021516201773459465\$pontore18180000Goldman Sack & Co.1010200100102002010-976450212:377510AmeberAll SovielGoldman Sack & Co.10102002001 West Seriel212:3577510AmeberAll SovielGoldman Sack & Co.10102002001 West Seriel212:3577510AmeberAll SovielGoldman Sack & Co.10102001001 West Seriel212:3577510AmeberAll SovielGoldman Sack & Co.10102001001 West Seriel212:205.0500SpontoreSpontoreGoldman Sack & Co.10102001001 West Seriel212:205.0500MemberSpontoreGoldman Sack & Co.10102001001 West Seriel212:205.0500MemberSpontoreGoldman Sack & Co.10102001001 West Seriel212:205.0500MemberSpontoreHP Trading LLC10102001001 West Seriel212:205.0500MemberSpontoreKR More, LLC10102001001 West Seriel212:205.0500MemberSpontoreMathal and Commercal Bark of Chars Francisk Seriel10102001001 West Seriel212:205.0500MemberSpontoreMathal and Commercal Bark of Chars Francisk Seriel10102001001 West Seriel212:205.0500MemberSpontoreMathal and Commercal Bark of Chars Francisk Seriel10102001001 West Seriel1012:200.5500 <td>Global American Investments, Inc.</td> <td>2/15/2012</td> <td>20277 Valley Boulevard Suite A</td> <td>312-919-2831</td> <td>Member</td> <td>Retail</td>	Global American Investments, Inc.	2/15/2012	20277 Valley Boulevard Suite A	312-919-2831	Member	Retail
Gebal Lupday Partners, LLC.     12 Broad Street State 2010     773-469-465     Participal Partners     Partners       Gedaman Sachs & Co.     10/122001     Colorestand New York, NY 1022     212-357-7519     Member     Full Service       Gedaman Sachs & Coaxing, LP     10/12001     Colorestand New York, NY 10022     212-357-7519     Member     Full Service       GTS Securities, LLC     10/12001     File Note New York, NY 10022     212-313-070     Springerd     Partners       GTS Securities, LLC     10/12001     File Note New York, NY 10022     212-313-070     Springerd     Partners       GTS Securities, LLC     10/12010     File Note New York, NY 10022     212-313-070     Springerd     Partners       GTS Securities, LLC     11/15201     File Note New York, NY 10024     212-313-070     Member     Partners       GTS Securities, LLC     11/15201     Street New York, NY 10024     212-330-516     Member     Partners       GTS Securities, LLC     10/12010     Street York, NY 10024     212-330-516     Member     Partners       GTS Securities, LLC     10/12010     Street York, NY 10004     212-330-518     Member	Global Execution Brokers, LP	10/5/2010	401 City Avenue Suite 220	312-435-4167	Member	Institutional
Godman Sachs & Co.10/12/201010/02/201010/02/201010/02/201010/02/201012/12/307/4587MemberFull ServiceGodman Sachs Execution & Clearing, LP10/12/0110/12/01010/01/201020/04/08/36red New York, NY 1002221/21/307/05Spinord ParticipantPoprietaryGTS Securities, LLC51/12/01New York, NY 1002221/21/307/05MemberPoprietaryHP Trading, LLC51/02/12New York, NY 1002221/21/307/05MemberPoprietaryHP Trading, LLC51/02/12New York, NY 1002221/21/30/51/86MemberPoprietaryHP Trading, LLC51/02/12New York, NY 1002221/21/30/51/86MemberPoprietaryHT Fannoial, LLC51/02/12New York, NY 1002521/22/30/51/86MemberPoprietaryHT Fannoial, LLC10/12/0170/12/0170/12/0121/22/31/92/7MemberAf SMC Chcago, LLC dua MC Francial Markets10/12/0170/12/0121/22/31/92/7MemberAf SMC Chcago, LLC dua MC Francial Services, LLC51/52/01Reity RY, NY 1000521/22/30/82/0MemberPoprietaryIndiated Commercial Bark of Chain Francial Services, LLC51/52/01Reity RY, NY 100521/21/30/82/0MemberPoprietaryIndiated Commercial Bark of Chain Francial Services, LLC51/52/01Reity RY, NY 1001621/21/30/82/0MemberPoprietaryIndiated Commercial Bark of Chain Francial Services, LLC51/52/01Reity RY, NY 1001621/21/30/82/0MemberPoprietary </td <td>Global Liquidity Partners, LLC.</td> <td>5/15/2012</td> <td>12 Broad Street Suite 201</td> <td>773-459-4665</td> <td></td> <td>Agency</td>	Global Liquidity Partners, LLC.	5/15/2012	12 Broad Street Suite 201	773-459-4665		Agency
Goldman Sachs Execution & Clearing, LP     Initial sector     101/2010     200 West Street New York, NY 10222     212-357-7519     Member     Full Service       GTS Securities, LLC     71/2011     547 Madion Avenue 158 Floor     212-310-070     Sponsord     Participant       GTS Securities, LLC     517/2012     517/2012     Member     Participant     Proprietary       HAP Trading, LLC     111/52010     517/2012     33 Witehal Street Street New York, NY 10022     212-230-5180     Member     Proprietary       HAP Trading, LLC     101/2010     32 Witehal Street Street Street Street New York, NY 10007     646-568-2337     Member     Proprietary       HRT Financial, LLC     101/2010     52 Yis Street York, NY 10007     646-568-2337     Member     Proprietary       MC Chicago, LLC dba MC Financial Markets     101/2010     52 Yis Street York, NY 10007     646-568-2337     Member     Proprietary       Industrial and Commercial Bark of China Financial Street Street York, NY 10007     New York, NY 10007     Street Street Street Street York, NY 10007     Member     Proprietary       Industrial And Commercial Bark of China Financial Street	Goldman Sachs & Co.	10/12/2010	200 West Street	212-357-4587		Full Service
GTS Securities, LLC 547 Madson Avenue Tips Floor 212.813.0870 Sponsored Participant Proprietary   GTS Securities, LLC 547/2012 547 Madson Avenue Tips Floor 212.715.2837 Member Proprietary   HAP Trading, LLC 111/52010 35 Witchinal Street Tips Floor 212.305.186 Member Proprietary   HAT Financial, LLC 101/2013 33 Witchinal Street Tips Floor 212.305.186 Member Proprietary   HXT Financial, LLC 101/2013 30 Floor New York, NY 10005 212.230.5186 Member Proprietary   HXT Financial, LLC 101/2013 30 Floor New York, NY 10005 646.568.2337 Member Arg   MC Chicago, LLC dba IMC Financial Markets 101/2010 233 South Wacker One State 4300 312.244.3320 Member Proprietary   Industrial and Commercial Bank of China Financial Services, LLC 5115/2014 1633 Broadway (1633 Broadway New York, NY 10007 212.300.6580 Member Genery   Interactive Brokes, LLC 91/2010 109 Floor New York, NY 10007 212.310.4097 Member Genery   Interactive Brokes, LLC 101/2010 109 Floor New York, NY 10029 212.310.4097 Member Genery   Interactive Brokes, LLC 101/1010 203 Floor New York, NY 10059 212.310.4097 Member	Goldman Sachs Execution & Clearing, LP	10/1/2010	200 West Street	212-357-7519	Member	Full Service
GTS Securities, LLC     S5 Mariles in Newsite 195 Norw New York, NY 10022     212-715-2837     Member     Proprietary       HAP Trading, LLC     11/15/2010     33 Withelman Newsite 195 Norw New York, NY 10024     212-380-5166     Member     Proprietary       HAP Trading, LLC     11/15/2010     32 Withelman Newsite 195 Norw York, NY 10004     212-380-5166     Member     Proprietary       HRT Francial, LLC     101/12010     32 Withelman Newsite 195 Norw York, NY 10007     246 568 2337     Member     ATS       IEX Services, LLC     101/12010     32 Withelman Newsite 195 Norw York, NY 10007     246 568 2337     Member     Proprietary       Indicating LLC     101/12010     32 Stock Mixeler Drive Store 4300     312-244.3320     Member     Proprietary       Indicating LLC     5/15/2014     1533 Broadway New York, NY 10019     212-300.6520     Member     Reproprietary       Indiract, LLC     5/15/2014     1033 Broadway New York, NY 10019     212-310.4097     Member     Reproprietary       Interactive Brokes, LLC     9/12010     1095 Avenue of the Americas Or Probrive NY 10059     212-310.4097     Member     Full Service       ISTRA, LLC     200 Park Avenue 1	GTS Securities, LLC	7/1/2011	545 Madison Avenue 15th Floor	212-813-0870		Proprietary
HAP Trading, LLC 33 Withehad Steeled New York, NY 10004 212-380-5186 Member Poprietary   HRT Financial, LLC 101/2010 320 Gl Silp 30th Floor 212-283-1927 Member Poprietary   IEX Services, LLC 101/2013 70 Work TV 10005 646-568-2337 Member ATS   IRC Chicago, LLC dba IMC Financial Markets 101/2013 71 Work TV 10007 646-568-2337 Member Argencial   Industrial and Commercial Bank of China Financial Services, LLC 101/12013 71 Work TV 10007 712-340-3520 Member Poprietary   Industrial and Commercial Bank of China Financial Services, LLC 101/12013 71 Work TV 10007 712-340-4527 Member Poprietary   Interactive Brokers, LLC 101/12014 101/12014 71 Work TV 10007 712-340-4527 Member Poprietary   Interactive Brokers, LLC 101/12015 101/12016 101/12016 101/12016 712-340-4527 Member Poprietary   Interactive Brokers, LLC 101/12016 101/12016 101/12016 101/12016 712-340-4527 Member Agency   ISTRA, LLC 101/12016 101/12016 101/12016 101/12016 718-618-4929 Sponored Poprietary   ISTRA, LLC 101/12016 121/152011 120 P	GTS Securities, LLC	5/1/2012	545 Madison Avenue 15th Floor	212-715-2837		Proprietary
HRT Financial, LLC10/1/20132/01/Silp 30th, Floor New York, NY 10007212-293-1927MemberProprietaryIEX Services, LLC10/1/20110/1/201700 fiftor New York, NY 10007646-568-2337MemberATSIAC Chicago, LLC dba IMC Financial Markets10/1/201233 South Wacker Drive Sub 43000312-244-3320MemberProprietaryIndustrial and Commercial Bank of China Financial Services, LLC51/1/2014133 South Wacker Drive Sub 43000212-300-8520MemberClearing ServicesIndustrial and Commercial Bank of China Financial Services, LLC91/1/20101095 Avenue of the Americas 200 fired wy York, NY 10019212-310-4097MemberAgencyInstret, LLC91/1/20101095 Avenue of the Americas 200 fired wy York, NY 10169203-618-5870MemberAgencyINTRA, LLC21/1/201121/1/2010210 files 200 fired wy York, NY 10169718-618-4929Sponsored ParticipantProprietaryITG Derivatives, LLC11/1/520121/1/2010200 perk Avenue 10th Fioor New York, NY 10169718-618-4929Sponsored ParticipantProprietaryITG Derivatives, LLC11/1/520160050601 S. LLS als Street Suita 300 perk Avenue 10th Fioor New York, NY 10169718-618-4929Sponsored ParticipantProprietaryITG Inc.10/1/2010601 S. LLS als Street Suita 300601 S. LLS als Street Suita 300Sponsored ParticipantProprietaryITG Inc.10/1/2010601 S. LLS als Street Suita 300Sponsored Streit 300 <t< td=""><td>HAP Trading, LLC</td><td>11/15/2010</td><td>33 Whitehall Street 6th Floor</td><td>212-380-5186</td><td>Member</td><td>Proprietary</td></t<>	HAP Trading, LLC	11/15/2010	33 Whitehall Street 6th Floor	212-380-5186	Member	Proprietary
EX Services, LLC 10/1/2013 10/1/2013 10/1/2014 <t< td=""><td>HRT Financial, LLC</td><td>10/1/2010</td><td>32 Old Slip 30th Floor</td><td>212-293-1927</td><td>Member</td><td>Proprietary</td></t<>	HRT Financial, LLC	10/1/2010	32 Old Slip 30th Floor	212-293-1927	Member	Proprietary
INC Chicago, LLC dba IMC Financial Markets   10/1/2010   233 South Wacker Drive Suite 4300   312-244-3320   Member   Proprietary     Industrial and Commercial Bank of China Financial Services, LLC   5/15/2014   f53 Broadway New York, NY 10019   212-300-8520   Member   Clearing Services     Instent, LLC   1995 Avenue of the Americas New York, NY 10036   212-310-4097   Member   Agency     Interactive Brokers, LLC   9/15/2010   1995 Avenue of the Americas Or Pickwick Plaza Or Pickwick Plaza Or Pickwick Plaza   203-618-5870   Member   Agency     ISTRA, LLC   12/1/2010   12/1/2010   230 Park Avenue Oth Floor New York, NY 10169   718-618-4929   Sponsored Participant   Proprietary     ITG Derivatives, LLC   12/15/2011   230 Park Avenue Oth Floor New York, NY 10169   718-618-4929   Sponsored Participant   Proprietary     ITG Derivatives, LLC   11/15/2011   6015 L. Sadie Street Sufe 300   312-334-8042   Member   Member   Agency     ITG, Inc.   010/1/2010   011-115/2011   011-15/2015   512-334-8042   Member   Agency	IEX Services, LLC	10/1/2013	7 World Trade Center 30th Floor	646-568-2337	Member	ATS
Industrial and Commercial Bank of China Financial Services, LLC   5/15/2014   1633 Broadway New York, NY 10019   212-300-8520   Member   Clearing Services     Instinet, LLC   9/1/2010   1096 Avenue of the Americas New York, NY 10036   212-310-4097   Member   Agency     Interactive Brokers, LLC   9/15/2010   One Pickwick Plaza 2nd Floor Greenwich, CT 06830   203-618-5870   Member   Full Service     ISTRA, LLC   12/1/2010   12/1/2010   30 Park Avenue 10th Floor Port Vort, NY 10169   7/18-618-4929   Sponsored Participant   Proprietary     ISTRA, LLC   12/15/2011   12/15/2011   30 Park Avenue 10th Floor Port Vort, NY 10169   7/18-618-4929   Sponsored Participant   Proprietary     ISTRA, LLC   11/15/2010   6015 S. La Sale Street Suite 300 Chicago, LL 60605   S12-334-8042   Member   Market Maker     ITG, Inc.   One Liberty Plaza Information   One Liberty Plaza Information   Streadway, 4th Floor   212-444-6259   Member   Agency	IMC Chicago, LLC dba IMC Financial Markets	10/1/2010	233 South Wacker Drive Suite 4300	312-244-3320	Member	Proprietary
Instinet, LLC 9/1/2010 1095 Avenue of the Americas New York, NY 10036 212-310-4097 Member Agency   Interactive Brokers, LLC 9/15/2010 One Pickwick Plaza 2nd Floor Greenwich, CT 06830 203-618-5870 Member Full Service   ISTRA, LLC 12/1/2010 12/1/2010 230 Park Avenue 10th Floor New York, NY 10169 718-618-4929 Sponsored Participant Proprietary   ISTRA, LLC 12/15/2011 12/15/2011 230 Park Avenue 10th Floor New York, NY 10169 718-618-4929 Sponsored Participant Proprietary   ITG Derivatives, LLC 11/15/2010 601 S. LaSalle Street Chicago, IL 60605 312-334-8042 Member Market Maker   ITG, Inc. 10/1/2010 105 Roadway, 4th Floor 212-444-6259 Member Agency	Industrial and Commercial Bank of China Financial Services, LLC	5/15/2014	1633 Broadway	212-300-8520	Member	Clearing Services
Interactive Brokers, LLC One Pickwick Plaza 2nd Floor Greenwich, CT 06830 One Pickwick Plaza 2nd Floor Greenwich, CT 06830 203-618-5870 Member Full Service   ISTRA, LLC 12/1/2010 12/1/2010 30 Park Avenue 10th Floor New York, NY 10169 718-618-4929 Sponsored Participant Proprietary   ISTRA, LLC 12/15/2011 12/15/2011 230 Park Avenue 10th Floor 718-618-4929 Sponsored Participant Proprietary   ISTRA, LLC 11/15/2010 101/15/2010 601 S. LaSale Street Chicago, IL 60605 312-334-8042 Member Market Maker   ITG, Inc. 0ne Liberty Plaza 101/1/2010 0ne Liberty Plaza Broadway, 4th Floor 212-444-6259 Member Agency	Instinet, LLC	9/1/2010	1095 Avenue of the Americas	212-310-4097	Member	Agency
ISTRA, LLC 230 Park Avenue 10th Floor New York, NY 10169 718-618-4929 Sponsored Participant Proprietary   ISTRA, LLC 230 Park Avenue 1015/2010 230 Park Avenue 10th Floor New York, NY 10169 718-618-4929 Sponsored Participant Proprietary   ITG Derivatives, LLC 11/15/2010 601 S. LaSale Street Chicago, IL 60605 312-334-8042 Member Market Maker   ITG, Inc. 0ne Liberty Piaza 0ne Liberty Piaza 212-444-6259 Member Agency	Interactive Brokers, LLC	9/15/2010	One Pickwick Plaza 2nd Floor	203-618-5870	Member	Full Service
ISTRA, LLC     Idew Tok, Nr 10109     718-618-4929     Sponsored Participant     Proprietary       ITG Derivatives, LLC     12/15/2011     11/15/2010     601 S. LaSalle Street Suite 300 Chicago, LL 60605     312-334-8042     Member     Market Maker       ITG, Inc.     0ne Liberty Plaza 10/1/2010     0ne Liberty Plaza 105 readway, 4th Floor     212-444-6259     Member     Agency	ISTRA, LLC	12/1/2010	230 Park Avenue 10th Floor	718-618-4929		Proprietary
New York, NY 10169     Participant       ITG Derivatives, LLC     601 S. L33alle Street Stute 300     312-334-8042     Member     Merch Maker       ITG, Inc.     0ne Liberty Plaza     0ne Liberty Plaza     Member     Agency	ISTRA, LLC	12/15/2011	230 Park Avenue 10th Floor	718-618-4929	Sponsored	Proprietary
ITG, Inc. 0ne Liberty Plaza 0ne Liberty Plaza 165 Broadway, 4th Floor 212-444-6259 Member Agency	ITG Derivatives, LLC	11/15/2010	601 S. LaSalle Street Suite 300	312-334-8042		
New York, NY 10006	ITG, Inc.	10/1/2010	One Liberty Plaza 165 Broadway, 4th Floor	212-444-6259		Agency

namenumber	Company Name	Date Approved by BATS	Address	Phone Number	Type of User	Primary Activities
number1000	Jane Street Capital, LLC	11/15/2010		212-651-6060	Member	Agency / Proprietary
numbernumbernumbernumbernumbernumbernumberabsch Stremmer2.00003.	Jeffries Execution Services, Inc.	9/1/2010		646-805-5414	Member	Full Service
Ansatz Monutine Monutine Monutine 	Jefferies Investment Advisers	7/15/2011		212-323-3993		Full Service
Add conditionAdd c	Jefferies, LLC (formerly Jefferies & Company, Inc.)	10/19/2010		212-323-3987	Member	Full Service
negativenegati	JNK Securities Corp.	11/15/2010	20th Floor	212-885-6311	Member	Agency
International along and along along along along along along along along along along along along along al	JP Morgan Clearing Corp.	9/15/2010	383 Madison Avenue	212-272-6655	Member	Full Service
Antone CodePartone <td>JP Morgan Securities, LLC</td> <td>9/15/2010</td> <td></td> <td>212-622-5504</td> <td>Member</td> <td>Full Service</td>	JP Morgan Securities, LLC	9/15/2010		212-622-5504	Member	Full Service
NumberNume	Juliet Group, LLC	3/1/2011	#3A	646-360-0595		Proprietary
Marcan Laboration Control of State St	Jump Trading, LLC	10/1/2010	600 West Chicago Avenue Suite 825	312-930-9603	Member	Proprietary
Schwarz Schwa	JVB Financial, LLC (formerly C&Co/PrinceRidge, LLC; formerly The PrinceRidge Group, LLC)	11/15/2010	1633 Broadway 28th Floor	646-792-5601	Member	Proprietary
Index data from a factor of a sector of 1913Note of a factor of 1913<	KCG Americas, LLC (formerly Knight Capital Americas, LLC; formerly Knight Execution & Clearing Services, LLC; formerly Knight Clearing Services, LLC)	10/14/2010	545 Washington Boulevard	201-356-4232	Member	Agency
Participation for the section of th	Keefe Bruyette & Woods, Inc.	12/1/2010		212-887-8965	Member	Agency
neutron LLCNumber	Kepler Capital Markets, Inc.	7/15/2013	28th Floor	212-710-7625	Member	Agency
ner decidentamener decidentamener decidentamener decidentamener decidentameAnder decidentamener decide	Kershner Securities, LLC	11/1/2010	1825-B Kramer Lane Suite 200	512-439-8140	Member	Proprietary
Landom defaultJanuary	Key Banc Capital Markets, Inc.	11/15/2010	127 Public Square	216-443-3978	Member	Agency
LA M Page 12Bar 2331 Bar 2331C 21 24.37.200 S M 24.37.200ManeleManeleLangen Caplan Kanka, in:210201S M 200000000000000000000000000000000000	Keystone Trading Partners	2/1/2013		918-407-3288	Member	Options Market Maker
Lapper Capital Materia, back21/200021/2000/00 (20190)2019/2000MaterialRedesplateLaw Taning LLC10/00021/2000/00 (20190)10/34450MaterialApartaLaw Taning LLC10/0002019/00021/201400MaterialApartaLaw Taning LLC10/0002019/00021/201400MaterialApartaLaw Taning LLC10/00010/201010/201021/201400MaterialApartaLaw Taning LLC10/00010/201010/201021/201400MaterialApartaLaw Taning LLC10/00010/201010/201021/201400MaterialApartaLaw Taning LLC10/00010/201010/201021/201400MaterialApartaLaw Taning LLC10/201010/201010/201021/201400MaterialApartaLaw Taning LLC10/201010/201010/201010/201010/2010MaterialApartaLaw Taning LLC10/201010/201010/201010/201010/201010/2010ApartaApartaLaw Taning LLC10/201010/201010/201010/201010/201010/2010ApartaApartaLaw Taning LLC10/201010/201010/201010/201010/201010/2010ApartaLaw Taning LLC10/201010/201010/201010/201010/2010ApartaApartaLaw Taning LLC10/201010/201010/201010/201010/2010ApartaApartaLaw	L & R Trading, LLC	9/1/2011	Suite 2830	212-433-7262	Member	Market Maker
Link Trading LLCIn the sector of	Lampert Capital Markets, Inc.	2/18/2014	477 Madison Avenue Suite 230	(646) 367-4660	Member	Introducing Broker
Landhon kinSin State and state	Latour Trading, LLC	10/1/2010	377 Broadway 10th Floor	917-388-8625	Member	Proprietary
Lard Qapita Markin, LLCIntegrad<	LavaFlow, Inc.	9/15/2010	388 Greenwich Street 29th Floor	212-519-8965	Member	Agency
Lenk Partner, LLC (connerly Lenks, Sharn, LLC)     Instant     Instant     Instant     Instant     Instant     Instant     Instant       Lagren Securities, Inc.     Instant     Instant <td< td=""><td>Lazard Capital Markets, LLC</td><td>11/15/2010</td><td>30 Rockefeller Plaza</td><td>212-632-2650</td><td>Member</td><td>Institutional</td></td<>	Lazard Capital Markets, LLC	11/15/2010	30 Rockefeller Plaza	212-632-2650	Member	Institutional
Laped Beauties, Enc.Single Single	Leerink Partners, LLC (formerly Leerink Swann, LLC)	10/5/2010	37th Floor	800-808-7525	Member	Agency
Let Boardies CorporationIn101200Interpretation Ministry State Found 1 Bill State Found 1 	Legend Securities, Inc.	9/15/2010	45 Broadway 32nd Floor	212-344-5747	Member	Institutional
Lidgotade. In claid Schoole shall197 State Roade 18 state School 18 state School 18 state School 18 	Lek Securities Corporation	10/1/2010	1 Liberty Plaza 165 Broadway, 52nd Floor	212-509-2300	Member	Agency
Liphpeed Trading, LLC11/1/52/101001 Averue of the American New York, NY 1012212-219-608Member ApartageAgencyLine Brokerage, LLC27/1/20177/1/20177/1/20171	Letsgotrade, Inc dba Choicetrade	11/15/2010	197 State Route 18 Suite 3000	732-214-2660	Member	Retail
Line Brokerage, LLC101/201625 Broadway New York, W 10012212.219.0003MemberAgencyLine Brokerage, LLC7/1/2017/1/2017/1/201212.842.5577\$pointagencyAgencyLinestone Chicago, LLC105/201105/2017/1/2011121.219.0003\$pointagencyAgencyLinestone Chicago, LLC105/201105/201110/2010121.219.0003\$pointagencyAgencyLinestone Chicago, LLC105/201195/201195/201121.219.0003\$pointagencyAgencyLinestone Chicago, LLC101/201195/201195/201646.600.310\$mointagencyAgencyMarting Annue Annue101/2010195/201196/201566.29.301\$mointagencyAgencyMarting Annue Annue101/2010New York, W 1003212.449.6000MemberAgencyMarting Annue Annue101/2010195/201312.260.5601MemberAgencyMarting Annue Annue101/2010256 Montgomery Street312.260.5601MemberMemberMarting Annue Annue101/2010717.Fith Annue New York, W 1002312.261.7302MemberAgencyMarting Annue Annue101/2010717.Fith Annue New York, W 1002312.261.7302MemberAgencyMarting Annue Annue101/2010717.Fith Annue 	Lightspeed Trading, LLC	11/15/2010	1001 Avenue of the Americas 16th Floor	646-393-4814	Member	Proprietary
Line Brokerage, LLC7/1/2011628 Broadway 128 Floor New Vork, NY 10012212-824-5577Sponsore ParticipantaenoryLinestone Chicago, LLC105/2010105/2010105/2010377 Broadway 	Lime Brokerage, LLC	10/1/2010	625 Broadway 12th Floor	212-219-6086	Member	Agency
Line to the charge, LLC10/5/201031/2 free decays21/2 2/18-6063Spensored ParticipantPoprietaryLiquidet, Inc.91/5/201010/5/2010 </td <td>Lime Brokerage, LLC</td> <td>7/1/2011</td> <td>625 Broadway 12th Floor</td> <td>212-824-5577</td> <td>Sponsored Participant</td> <td>Agency</td>	Lime Brokerage, LLC	7/1/2011	625 Broadway 12th Floor	212-824-5577	Sponsored Participant	Agency
Liquidnet, Inc. 99 115/2010 188 7th Autors of New York, NY 10018 646-660-8310 Member Institutional   MB Trading 12/15/2010 12/85/2010 12/85 East Maple Avenue 1926 East Maple Avenue 986-628-3001 866-628-3001 Member Relal / Agency   Merrill Lynch Pierce, Fenner & Smith, Incorporated 10/4/2010 One Bryant Park New York, NY 10036 212-49-6090 Member Relational   Merrill Lynch Pierce, Fenner & Smith, Incorporated 10/5/2010 One Bryant Park New York, NY 10036 312-260-5601 Member Market Maker   Merrill Lynch Pierce, Fenner & Smith, Incorporated 61/12011 10/15/2010 New York, NY 10036 312-260-5601 Member Market Maker   Merrill Lynch Pierce, Fenner & Smith, Incorporated 61/12011 10/15/2010 New York, NY 10036 312-260-5601 Member Market Maker   Merrill Lynch Pierce, Fenner & Smith, Incorporated 61/12011 10/15/2010 Statt Fenner Smith Tencesco, CA 94104 312-261-7302 Member Market Maker   Merrill Lynch Pierce, Fenner & Smith, Incorporated 10/15/2010 New York, NY 10019 312-261-7302 Member Agency   Merrill Lynch Pierce 11/15/2010 New York, NY 10019 1312-261-7302 Member Agency   Mithold Hynch 11/15/2010 New York, NY 10019	Limestone Chicago, LLC	10/5/2010	377 Broadway 11th Floor	212-219-6063	Sponsored	Proprietary
MB Trading12/15/20101926 East Maple Avenue El Segundo, CA 90235866-628-3001MemberRetal / AgencyMerril Lynch Pierce, Fenner & Smith, Incorporated10/4/2010New York, NY 10036212-449-6090MemberFull ServiceMerril Lynch Professional Clearing Corp.10/5/201010/5/2010New York, NY 10036312-260-5601MemberMarket MakerMerriman Capital, Inc.6/1/201120/0 Montgomery Street Teh Froir Stan Francisco, CA 94104415-262-1395MemberMarket MakerMF Global, Inc.10/19201717 Fifth Arenue Stan Francisco, CA 94104312-261-7302MemberAgencyMissibil UFJ Securities (USA), Inc.11/192048107 TA venue Stan Francisco, CA 94104312-261-7302MemberAgencyMissibil UFJ Securities (USA), Inc.10/14/2018107 TA venue Stan Francisco, CA 94104MemberAgencyMissibil UFJ Securities (USA), Inc.10/14/2018107 TA venue Stan Francisco, CA 94104MemberAgencyMissibil UFJ Securities (USA), Inc.10/14/2018107 TA venue Stan Francisco, CA 94104MemberAgencyMissibil UFJ Securities (USA), Inc.10/14/2018103 Ta venue State Francisco212-2782.4187MemberAgencyMissibil UFJ Securities USA, Inc.11/15/2018107 TA venue State Francisco212-209.9388MemberAgencyMissibil UFJ Securities USA, Inc.11/14/2018107 TA venue State Francisco212-209.9388MemberAgencyMissibil UFJ Securities USA, Inc.11/15/2018	Liquidnet, Inc.	9/15/2010	498 7th Avenue 12th Floor	646-660-8310		Institutional
Merrill Lynch Pierce, Fenner & Smith, Incorporated     10/4/2010     One Bryant Park New York, NY 10036     212-449-6090     Member     Full Service       Merrill Lynch Professional Clearing Corp.     0ne Bryant Park New York, NY 10036     312-260-5601     Member     Market Maker       Merrill Lynch Professional Clearing Corp.     6/1/2011     200 Morgomery Street 160 Floor     415-262-1395     Member     Market Maker       MF Global, Inc.     717 Fifth Avenue Sun Francisco, CA 94104     312-261-7302     Member     Agency       Missubishi UFJ Securities (USA), Inc.     11/15/2010     11/15/2010     810 7th Avenue Sun Francisco, CA 94104     312-261-7302     Member     Agency       Missubishi UFJ Securities (USA), Inc.     11/15/2010     11/15/2010     Sin Francisco, CA 94104     212-782-4187     Member     Arster       Misubishi UFJ Securities (USA), Inc.     10/14/201     10/14/201     10/14/201     11/15/2010     11/15/2019     Member     Arster       Mizubo Securities USA, Inc.     10/14/201     10/14/201     11/16/2019     212-782-4187     Member     Agency       Morecido Advisors, Inc.     31/15/2011     11/16/2015     11/16/2015     212-209-9338 <td>MB Trading</td> <td>12/15/2010</td> <td>1926 East Maple Avenue</td> <td>866-628-3001</td> <td>Member</td> <td>Retail / Agency</td>	MB Trading	12/15/2010	1926 East Maple Avenue	866-628-3001	Member	Retail / Agency
Merrill Lynch Professional Clearing Corp.     One Bryant Park NYT-100-06-01 New York, NY 10036     312-260-5601     Member     Market Maker       Merriman Capital, Inc.     6/1/2011     250 Montgomery Street 16th Floor San Francisco, CA 94104     415-262-1395     Member     Market Maker       MF Global, Inc.     10/19/2010     717 Fifth Avenue Stith Floor     312-261-7302     Member     Agency       Mismi, Inc.     10/19/2010     810 7th Avenue Stith Floor     810 7th Avenue Stith Floor     646-839-6107     Member     Agency       Mismi, Inc.     11/15/2010     810 7th Avenue Stith Z20     646-839-6107     Member     ATS       Misubishi UFJ Securities (USA), Inc.     10/14/2010     10/14/2010     1633 Broadway 200 Fark Avenue Stith E 20     212-782-4187     Member     Agency       Mizuho Securities (USA, Inc.     11/3/2011     11/3/2011     200 Park Avenue Stith E 20     212-782-4187     Member     Agency       Mortecito Advisors, Inc.     31/5/2011     31/5/2011     320 Park Avenue Stith E B     212-209-9338     Member     Agency       Mortecito Advisors, Inc.     31/15/2011     31/15/2011     320 Fark Avenue Stith B     Stith B Barbara, CA 93105	Merrill Lynch Pierce, Fenner & Smith, Incorporated	10/4/2010	One Bryant Park	212-449-6090	Member	Full Service
Merriman Capital, Inc. 250 Montgomery Street 16th Floor San Francisco, CA 94104 415-262-1395 Member Market Maker   MF Global, Inc. 10/19/2010 717 Firth Avenue New York, NY 10022 312-261-7302 Member Agency   Mismi, Inc. 810 7th Avenue New York, NY 10023 646-839-6107 Member Agency   Misubishi UFJ Securities (USA), Inc. 10/14/2010 10/14/2010 10/14/2010 212-782-4187 Member Arst   Misubishi UFJ Securities (USA), Inc. 11/13/2011 11/13/2011 320 Park Avenue 230 Ficor 212-782-4187 Member Agency   Misubishi UFJ Securities (USA), Inc. 11/13/2011 11/13/2011 320 Park Avenue 2010 Ficor 212-209-9338 Member Agency   Misubishi UFJ Securities (USA), Inc. 11/13/2011 11/13/2011 2016 State Street Suite B 2015 State Street 2015 State Street 2015 State Street Suite B Amember Agency   Montes & Cabot, Inc. 40/27012 111 Devonshire Street 617.2114.2025 Member Amember Amember	Merrill Lynch Professional Clearing Corp.	10/5/2010	One Bryant Park NY1-100-06-01	312-260-5601	Member	Market Maker
MF Global, Inc. 10/19/2010 717 Firth, Avenue New York, NY 10022 312-261-7302 Member Agency   Mismi, Inc. 810 7th Avenue New York, NY 10019 810 7th Avenue New York, NY 10019 646-839-6107 Member ATS   Mitsubishi UFJ Securities (USA), Inc. 10/14/2010 1633 Broadway 20th Floor New York, NY 10019 212-782-4187 Member Institutional / Agency   Mitsubishi UFJ Securities (USA), Inc. 11/13/2011 10/14/2010 213 Broadway 20th Floor New York, NY 10019 212-782-4187 Member Institutional / Agency   Mitsubishi UFJ Securities (USA), Inc. 11/13/2011 10/14/2010 212-782-4187 Member Agency   Mitsubishi UFJ Securities (USA), Inc. 11/13/2011 10/14/2010 212-782-4187 Member Agency   Mitsubishi UFJ Securities (USA), Inc. 11/13/2011 10/14/2010 212-782-4187 Member Agency   Mitsubishi UFJ Securities (USA), Inc. 11/13/2011 10/14/2010 212-782-4187 Member Agency   Mitsubishi UFJ Securities (USA), Inc. 11/13/2011 10/14/2010 212-782-4187 Member Agency   Mitsubishi UFJ Securities (USA), Inc. 2017 2017 2017 2012-2019-9338 Member Agency   Monte Securities (USA), Inc. 2017 2015 2	Merriman Capital, Inc.	6/1/2011	250 Montgomery Street 16th Floor	415-262-1395	Member	Market Maker
Mismi, Inc. 810 7th Avenue New York, NY 10019 646-839-6107 Member ATS   Mitsubishi UFJ Securities (USA), Inc. 10/14/2010 1833 Broadway 2183 Broadway New York, NY 10019 212-782-4187 Member Institutional / Agency   Mitzubishi UFJ Securities (USA), Inc. 10/14/2010 1833 Broadway 212-782-4187 Member Institutional / Agency   Mitzubishi UFJ Securities (USA), Inc. 11/3/2011 11/3/2011 212-782-4187 Member Agency   Mitzubishi UFJ Securities (USA), Inc. 11/3/2011 11/3/2011 212-782-4187 Member Agency   Mitzubishi UFJ Securities (USA), Inc. 11/3/2011 11/3/2011 212-782-4187 Member Agency   Mitzubishi UFJ Securities (USA), Inc. 11/3/2011 11/3/2011 212-782-4187 Member Agency   Montecito Advisors, Inc. 3/15/2011 3/15/2011 212-782-4187 Member Agency   Moors & Cabot, Inc. 4/2/2012 111 Devonshire Street 646-639-6107 Member Agency	MF Global, Inc.	10/19/2010	717 Fifth Avenue 9th Floor	312-261-7302	Member	Agency
Mitsubishi UFJ Securities (USA), Inc. 10/14/2010 1033 Broadway 29th Floor 212-782-4187 Member Institutional / Agency   Mizuho Securities USA, Inc. 10/14/2010 320 Park Avenue 12th Floor 212-209-9338 Member Agency   Montecito Advisors, Inc. 3/15/2011 3/15/2011 2015 State Street Suite B 805-682-1484 Member Proprietary	Mismi, Inc.	11/15/2010	810 7th Avenue Suite 220	646-839-6107	Member	ATS
Mizuho Securities USA, Inc.     320 Park Avenue 12th Floor     212-209-9338     Member     Agency       Montecito Advisors, Inc.     3/15/2011     3/15/2011     2015 State Street Suite B     805-682-1484     Member     Proprietary       Moors & Cabot, Inc.     4/2/2012     111 Devonshire Street     617.214.0295     Munche     Agency	Mitsubishi UFJ Securities (USA), Inc.	10/14/2010	1633 Broadway 29th Floor	212-782-4187	Member	Institutional / Agency
Montecito Advisors, Inc.     2015 State Street Suite B     2015 State Street Suite B     805-682-1484     Member     Proprietary       Moors & Cabot, Inc.     4/2/2012     111 Devonshire Street     617.214.0205     Number     Annumber	Mizuho Securities USA, Inc.	1/3/2011	320 Park Avenue 12th Floor	212-209-9338	Member	Agency
Moors & Cabot, Inc. 111 Devonshire Street 617 214 0295 Number 0 400000	Montecito Advisors, Inc.	3/15/2011	2015 State Street Suite B	805-682-1484	Member	Proprietary
	Moors & Cabot, Inc.	4/2/2012		617-314-0295	Member	Agency

International and point and point<	Company Name	Date Approved by BATS	Address	Phone Number	Type of User	Primary Activities
Marka ConstraintsMarka Restance Restance 	Morgan Stanley & Co., LLC (formerly Morgan Stanley and Co. Incorporated)	9/1/2010		212-761-9324	Member	Full Service
éndouduidínitionínitionínitionínitionínitionínitionKalkandaukaanade	MP Capital, LP	11/15/2010	18th Floor	917-748-7643	Member	Proprietary
NameN	MPS Global Securities, LLC	11/15/2010	140 East 45th Street 42nd Floor	212-331-6583	Member	Proprietary
number19.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.00030.00030.00030.000Name30.00030.00030.00030.00030.000	Nasdaq Execution Services, LLC	9/1/2010	One Liberty Plaza 165 Broadway	212-231-5177	Member	Exchange
NameN	National Financial Services, LLC	10/4/2010	200 Seaport Boulevard	201-915-8264	Member	Retail / Agency
mark and mark	Needham & Company, Inc.	10/1/2010		212-371-8411	Member	Market Maker
nin konden konstanding in konden konden kond	Newedge USA, LLC	10/21/2010	Suite 500	646-557-8387	Member	Full Service
industantionindustindustindustindustindustindustName and statementsindustindustindustindustindustindustindustName and statementsindustindustindustindustindustindustindustObtainantaindustindustindustindustindustindustindustindustObtainantaindustindustindustindustindustindustindustindustObtainantaindustindustindustindustindustindustindustindustObtainantaindustindustindustindustindustindustindustindustObtainantaindustindustindustindustindustindustindustindustObtainantaindustindustindustindustindustindustindustindustObtainantaindustindustindustindustindustindustindustindustObtainantaindustindustindustindustindustindustindustindustObtainantaindustindustindustindustindustindustindustindustObtainantaindustindustindustindustindustindustindustindustObtainantaindustindustindustindustindustindustindustindust <t< td=""><td>Nomura Securities International, Inc.</td><td>10/1/2010</td><td>Worldwide Plaza 309 West 49th Street</td><td>212-667-9131</td><td>Member</td><td>Institutional</td></t<>	Nomura Securities International, Inc.	10/1/2010	Worldwide Plaza 309 West 49th Street	212-667-9131	Member	Institutional
independenciesindexinde	North Moore Trading, LLC	10/5/2010	377 Broadway 11th Floor	212-219-6063		Proprietary
marketDiskBis RegionBis Reg	Northern Trust Securities, Inc.	10/5/2010	50 South LaSalle Street	312-630-6045	Member	Market Maker
observed bestrand constructionSet Name bestrand constructionSet Name bestrand constructionSet Name bestrand constructionSet Name bestrand 	Northland Securities, Inc.	12/15/2010	20th Floor	612-851-5934	Member	Proprietary
abitsb	OBD Securities, LLC	10/15/2012	150 N. Michigan Avenue Suite 3700	312-768-1643	Member	Proprietary
of Edd LCDNormal ConstructionNormal ConstructionNormal ConstructionNormal 	OBEX Securities, LLC	5/2/2011	1865 Palmer Avenue Suite 208	914-833-1800	Member	Agency
okumoduputilizitionnoticenoticenoticenoticenoticenoticeQuedamin AG, piceNoticeNoticeNoticeNoticeNoticeNoticeNoticeNoticeCharlanceNoticeNoticeNoticeNoticeNoticeNoticeNoticeNoticeProduction AG, piceNoticeNoticeNoticeNoticeNoticeNoticeNoticeNoticeProduction AG, piceNoticeNoticeNoticeNoticeNoticeNoticeNoticeNoticeProduction AG, piceNoticeNoticeNoticeNoticeNoticeNoticeNoticeNoticeProduction AG, piceNotice<	OCTEG, LLC	9/15/2010	350 North Orleans 3rd Floor South	312-334-4748	Member	Proprietary
Openetion AGA, no.Number of the state of the	Old Mission Capital, LLC	4/16/2012	314 West Superior Suite 200	617-642-6120	Member	Proprietary
pALC197000Subscription9144000MatchManuelPDATS.RC.104000104000104000010400001040000104000104000PARADALADADADADADADADADADADADADADADADADAD	Oppenheimer & Co., Inc.	10/12/2010	85 Broad Street 22nd/24th Floor	212-668-8152	Member	Agency
Land     Contact     Demokeny, Locode     22.85.1.264     Main     Attack       PEXAG Capital Management, LLG     Single, Locode     Single, L	OTA, LLC	10/7/2010	One Manhattanville Road	914-460-4071	Member	Institutional
Instant     Onegen     0.0000     0.00000     0.000000     0.000000     0.000000     0.000000     0.000000     0.000000     0.000000     0.0000000     0.0000000     0.0000000     0.0000000     0.00000000000000000     0.00000000000000000000000000000000000	PDQ ATS, Inc.	10/4/2010		224-521-2494	Member	ATS
paraer sources10020000100 Reading without sources1012000010120000010120000010120000010120000010120000000000000000000000000000000000	PEAK6 Capital Management, LLC	7/15/2011		312-362-2401		Market Maker
Parking LCSin Sin Sin Sin Sin Sin Sin Sin Sin Sin	Penserra Securities, LLC	10/6/2010	26th Floor	212-607-3190	Member	Agency
Private oppinnentike, LDNumberPaper <td>Pershing, LLC</td> <td>9/15/2010</td> <td>One Pershing Place</td> <td>201-413-2826</td> <td>Member</td> <td>Agency</td>	Pershing, LLC	9/15/2010	One Pershing Place	201-413-2826	Member	Agency
per attary AG.functionf	Pinnacle Capital Marktes, LLC	12/1/2010	Suite 390	919-850-0888	Member	Agency
Andream Hange, ECCAdditional Bestion, Mac2010Affrabric Bestion, Mac2010Gift 7-85-87-21MonetePopulsaler/ Market MakerPrigms Securities, LLC111/1/20103006 Fiber memory Rev Vek, NY 1001 Add Market Maker212-617-9781AlmoherHistonal / AgencyOracle Capital Partners, LLC64/201042/424 Month Avenue Wek Sate Sate Sate Sate Sate Sate Sate Sate	Piper Jaffray & Co.	11/15/2012	800 Nicollet Mall	612-303-2211	Member	Market Maker
Pageas Securities, LLCPhysical ControlPhysical Parteries Security Physical Parteries Physical Ph	Potamus Trading, LLC	4/15/2013	5th Floor	617-855-8721	Member	Proprietary / Market Maker
On ade Capatal Parthers, LLC61/2011240244 North Annue Weat Weatfield, HJ (2790)90 8222.9693Spinnered ParthersPoprietaryCounders Clearing, LLC12/27/201112/27/201112/27/201114/16/00046/6 21.45.000Member ParthersPoprietaryCounders Securities, LP11/17/20111/17/20112/220.4100312.220.4100Member ParthersPoprietaryCale Light Securities, LLC11/12/20111/12/20112/220.21.000Member State 200012/220.4100Member ParthersPoprietaryRever Securities, LLC11/15/20140/04 North North Winders State 200012/220.4100Member ParthersPoprietaryRever Securities, LLC11/15/20140/04 North North Winders State 200012/230.71080Member ParthersPoprietaryRever Securities, LLC11/15/20140/04 North North Winders State 200012/230.71080Member ParthersPoprietaryRever Securities, LLC11/15/20111/15/20140/04 North Winders State 200012/200.7203Member ParthersPoprietaryRever Securities, LLC11/15/201<	Pragma Securities, LLC	11/1/2010	360 Park Avenue South 20th Floor	212-617-9781	Member	Institutional / Agency
Quarter Clearing, LLCTo Husion Stater Modern, N (702)646.214.5608MemberClearing FirmQuartab Securites, LP11/1/201120/07 Husion Stater Modern, N (702)713.333.3704MemberPopietaryQuartab Securites, LLC11/1/201111/1/201120/07 Husion Stater Mice 2001, 77.065313.2224.4185MemberPopietaryRene Securites, LLC11/1/201111/1/201120/07 Husion Stater 	Qtrade Capital Partners, LLC	6/1/2011	240-244 North Avenue West Suite 301	908-232-5693		Proprietary
NameNumberNumberProprietaryQuel Light Securities, LLC11/3/201111/1/201014/1 W. Jackson Bode/arval State 2020 A312/229-4195MemberPoprietaryRever Securities, LLC11/1/201011/1/15/201011/1/15/201012/12.952.0634MemberAgencyRever Securities, LLC (formerly RBC Capital Markets Corporation)10/1/4/20130/047 Efmandial Center 200 Versey Street New York, NY 1002512/12.952.0634MemberAgencyRedur Dartnerg (USA), LP11/1/5/20130/047 Efmandial Center 	Quantex Clearing, LLC	12/27/2011	70 Hudson Street	646-214-5608		Clearing Firm
Quet Light Securities, LLC11/3/201111/11 Valations Induevard Suite 2020 A (hcango, Li, 66604)312.229.4195MemberProprietaryRaven Securities Corp.11/11/11/2010Advant Bistreet, T/IR Floor New York, NY 10005212.952.0634MemberAgencyRBC Capital Markets, LLC (formerly RBC Capital Markets Corporation)10/14/20103/World Finncial Center 200 Versy Steel612.373.1680MemberMarket MakerRedum Partners (USA), LP11/15/20103/World Finncial Center 200 Versy Steel212.803.7303MemberAgencyRGM Securities, LLC11/15/2010221.Were Steel 200 Versy Steel512.407.7502MemberAgencyRGM Securities, LLC10/12/2010221.Were Steel 200 Versy Steel610.747.2333MemberAgencyRow Tork, NY 10005212.403.7003MemberAgencyAgencyRow Tork, NY 10017212.403.7003MemberAgencyRow Tork, NY 10017212.403.7303MemberAgencyRow Tork, NY 10017212.403.7203MemberAgencyRow Tork, NY 100	Quantlab Securities, LP	11/1/2010	Suite 200	713-333-3704	Member	Proprietary
Rave Securities Corp.     Intrise     Accompared strumtered New York, NY 10005 New York, NY 10005     212-952-0634     Member     Agency       RBC Capital Markets, LLC (formerly RBC Capital Markets Corporation)     10/14/2010     20/14/2010     612-373-1680     Member     Market Maker       Redburn Partners (USA), LP     11/15/2010     565 Fifth Avenue 200 Versey Street New York, NY 10017     212-803-7303     Member     Agency       RRD Securities, LLC     11/15/2010     565 Fifth Avenue 200 Versey Street State 2030     512-807-5302     Member     Agency       RRD Securities, LLC     10/12/2011     21/12/201     512-807-5302     Member     Agency       Robert W. Baird & Co. Incorporated     10/12/201     State 203     610-747-2333     Member     Agency       Robert W. Baird & Co. Incorporated     11/15/2010     State 203     State 203     Member     Agency       Robert W. Baird & Co. Incorporated     11/15/2010     State 203     State 203     Member     Agency       Robert W. Baird & Co. Incorporated     11/15/2010     State 203     State 203     Member     Agency       Robert W. Baird & Co. Incorporated     State 204     St	Quiet Light Securities, LLC	1/3/2011	141 W. Jackson Boulevard Suite 202A	312-229-4195	Member	Proprietary
RBC Capital Markets, LLC (formerly RBC Capital Markets Corporation)   10/14/2010   3/W ord Financial Center 200 Vessey Street New York, NY 10281   fol 2.373-1680   Member   Market Maker     Redurn Partners (USA), LP   11/15/2010   565 Find Avro281   21.083-37303   Member   Agency     Rode Securities, LLC   11/15/2010   21.West 6th Street State 2030   512-807-5302   Member   Agency     Rev Cross Securities, LLLP   10/1/2010   401 (Cip Avenue State 2030   610-747-2333   Member   ATS     Robert W. Baird & Co. Incorporated   11/15/2010   307 (Sin Centers Street State 2030   11/12-244-5284   Sponsored Participant   Poprietary Market Maker     Robert W. Baird & Co. Incorporated   11/15/2010   300 (Sin Centers Street State 2030   11/12-244-5284   Sponsored Participant   Poprietary Market Maker     Robert W. Baird & Co. Incorporated   10/6/2010   300 (Sin Celters Street State 2030   11/12-244-5284   Sponsored Participant   Poprietary Market Maker     Robert W. Baird & Co. Incorporated   10/6/2010   300 (Sin Celters Street State 2030   11/12-244-5284   Sponsored Participant   Poprietary Market Maker     Robert W. Baird & Co. Incorporated   10/6/2010   351 Fifth Avenule New York, NY 100056   212-843-5255 <td>Raven Securities Corp.</td> <td>11/15/2010</td> <td>Accounting &amp; Compliance International 40 Wall Street, 17th Floor</td> <td>212-952-0634</td> <td>Member</td> <td>Agency</td>	Raven Securities Corp.	11/15/2010	Accounting & Compliance International 40 Wall Street, 17th Floor	212-952-0634	Member	Agency
Redburn Partners (USA), LP11/15/2010565 Fifth, Avenue New York, NY 10017212-803-7303MemberAgencyRGM Securities, LLC10/1/201021 West 6th Street Suite 2030 Austin, TX 78/01512-807-5302MemberProprietaryRVer Cross Securities, LLLP10/5/201010/5/201010/5/2010610-747-2333MemberATSRobert W. Baird & Co. Incorporated11/15/201011/15/2010777 East Wisconsin Avenue Milwaukee, Wis 5322414-765-3910MemberMarket MakerRobert W. Baird & Co. Incorporated11/15/201011/15/2010212-943-5225MemberArsect MakerRobert W. Baird & Co. Incorporated11/15/201010/6/2010212-943-5225MemberAgencyRobert W. Baird & Co. Incorporated11/15/201011/15/2010212-943-5225MemberAgencyRobert W. Baird & Co. Incorporated11/15/2010212-943-5225MemberAgencyRobert W. Baird & Co. Incorporated11/15/2010212-943-5225MemberAgencyRobert W. Baird & Co. Incorporated11/15/2010212-943-5225MemberAgencyRobert W. Songor M. Songor	RBC Capital Markets, LLC (formerly RBC Capital Markets Corporation)	10/14/2010	3 World Financial Center 200 Vesey Street	612-373-1680	Member	Market Maker
RGM Securities, LLC   10/1/2010   21 West 6th Street Suite 2013 Austin, TX 78701   512-807-5302   Member   Proprietary     River Cross Securities, LLLP   10/5/2010   401 City Avenue Suite 312 Bala Cymwyd, PA 19004   610-747-2333   Member   ATS     Robert W. Baird & Co. Incorporated   11/3/2011   17/7 East Wisconsin Avenue Minaukee, WI S2020   414-765-3910   Member   Market Maker     Robert W. Baird & Co. Incorporated   11/15/2010   350 N. Orleans Street Chicago, IL 60654   312-244-5284   Sponsored Participant   Proprietary / Market Maker     Rosenblatt Securities, Inc.   10/6/2010   20 Broad Street 26 Bri Floor   312-244-5284   Sponsored Participant   Proprietary / Market Maker     RW Pressprich & Co.   11/15/2010   321 Fith Avenue New York, NY 10005   212-943-5225   Member   Agency     Sanford C. Bernstein & Co, LLC   10/2/2014   45 Ave of the Americas New York, NY 10105   212-823-2896   Member   Agency     Santander Investment Securities, Inc.   11/2/2014   45 East S3rd Street   312-36 Scope   Nember   Agency	Redburn Partners (USA), LP		565 Fifth Avenue 26th Floor	212-803-7303	Member	Agency
River Cross Securities, LLLP   010 City Avenue Suite 912   610-747-2333   Member   ATS     Robert W. Baird & Co. Incorporated   11/3/2011   777 East Wisconsin Avenue Milwaukee, WI 53202   414-765-3910   Member   Market Maker     Ronin Capital, LLC   11/1/5/2010   310 N. Orleans Street Suite 2N Chicago, LL 60654   312-244-5284   Sponsored Participant   Proprietary / Market Maker     Rosenblatt Securities, Inc.   10/6/2010   20 Broad Street Suite 2N New York, NY 10005   212-943-5225   Member   Agency     Ronford C. Bernstein & Co, LLC   11/1/5/2010   13/5 Ave of the Americas New York, NY 10015   212-832-8286   Member   Agency	RGM Securities, LLC	10/1/2010	221 West 6th Street Suite 2030	512-807-5302	Member	Proprietary
Robert W. Baird & Co. Incorporated   1/3/2011   77 Teat Wisconsin Avenue Mikwaukee, WI 53202   414-765-3910   Member   Market Maker     Ronin Capital, LLC   11/1/5/2010   350 N. Orleans Street Suite 2N Chicago, IL 60654   312-244-5284   Sponsored Participant   Poprietary / Market Maker     Rosenblatt Securities, Inc.   10/6/2010   20 Broad Street 20 Broad Street   212-943-5225   Member   Agency     RW Pressprich & Co.   11/1/5/2010   11/1/5/2010   \$212-832-6254   Member   Agency     Sanford C. Bernstein & Co, LLC   11/1/5/2010   10/2/2011   \$34 Ave of the Americas New York, NY 10105   212-823-2896   Member   Agency     Santander Investment Securities, Inc.   11/2/2014   45 East 53rd Street   212-823-2896   Nember   Agency	River Cross Securities, LLLP		401 City Avenue Suite 912	610-747-2333	Member	ATS
Noting Capital, LLC Suite 2N Salte 2N Sponsored Proprietary / Market Maker   Noting Capital, LLC 10/6/2010 State 2N 20 Broad Street 212-943-5225 Member Agency   RW Pressprich & Co. 11/15/2010 11/15/2010 11/15/2010 1212-943-5225 Member Agency   Sanford C. Bernstein & Co, LLC 11/15/2010 11/15/2010 1345 Ave of the Americas New York, NY 10015 212-832-8254 Member Agency	Robert W. Baird & Co. Incorporated		777 East Wisconsin Avenue	414-765-3910	Member	Market Maker
Rosenblatt Securities, Inc. Integrad Street 210 Broad Street 212-943-5225 Member Agency   RW Pressprich & Co. 10/6/2010 11/15/2010 4521 Fifth Avenue 212-832-6254 Member Agency   Sanford C. Bernstein & Co, LLC 10/21/2010 1345 Ave of the Americas New York, NY 10105 212-823-2896 Member Agency   Santander Investment Securities, Inc. 1/1/2/2011 452 East 53rd Street 212-823-2896 New Pork Agency	Ronin Capital, LLC	11/15/2010	Suite 2N	312-244-5284		Proprietary / Market Maker
RW Pressprich & Co. 11/15/2010 \$212 lifth Avenue New York, NY 10018 212-832-6254 Member Agency   Sanford C. Bernstein & Co, LLC 10/21/2010 1345 Ave of the Americas New York, NY 10105 212-823-2896 Member Agency   Sanford C. Bernstein & Co, LLC 10/21/2010 1345 Ave of the Americas New York, NY 10105 212-823-2896 Member Agency	Rosenblatt Securities, Inc.	10/6/2010	20 Broad Street 26th Floor	212-943-5225		Agency
Sanford C. Bernstein & Co, LLC     10/21/2010     1345 Ave of the Americas New York, NY 10105     212-823-2896     Member     Agency       Santander Investment Securities, Inc.     1/3/2011     45 East 53rd Street     212-362-3656     No.     Agency	RW Pressprich & Co.	11/15/2010	4521 Fifth Avenue	212-832-6254	Member	Agency
	Sanford C. Bernstein & Co, LLC	10/21/2010	1345 Ave of the Americas	212-823-2896	Member	Agency
	Santander Investment Securities, Inc.	1/3/2011	45 East 53rd Street	212-350-3659	Member	nstitutional

Anisol Band B	Company Name	Date Approved by BATS	Address	Phone Number	Type of User	Primary Activities
Normay ChangenergyNormay ChangenergyNormay ChangenergyNormay 	Sopia Capital (USA), Inc.	9/15/2010	165 Broadway	212-225-6705	Member	Institutional
Jondy <t< td=""><td>Scottrade, Inc.</td><td>11/15/2010</td><td>St. Louis, MO 63131</td><td>314-965-1555 x.6402</td><td>Member</td><td>Retail</td></t<>	Scottrade, Inc.	11/15/2010	St. Louis, MO 63131	314-965-1555 x.6402	Member	Retail
monitor decisionmonitor decisionmoni	Scout Trading, LLC	9/1/2010	Suite 1206	646-783-7001	Member	Proprietary
And Bay Frank and Bay Frank and Bay Bay Frank and Bay Bay Frank and Bay	Seven Points Capital, LLC	12/15/2010	15th Floor	212-760-0760	Member	Agency
anatom bank for bank for ban	SG Americas Securities, LLC	11/15/2011	New York, NY 10167	212-278-5232	Member	Proprietary
NameNa	Simplex Investments, LLC	6/1/2012	Suite 4-100	312-360-2447		Market Maker
Jaindor, Marcian, Marci	Solowey & Co.	9/1/2010	Miami, FL 33156	305-668-3389	Member	Market Maker
networkadi<	Southwest Securities, Inc.	9/1/2010	Suite 3500 Dallas, TX 75270	214-859-5125	Member	Clearing Firm
InductionInduceInduceInduceInduceInduceInduceInduceBay Tabaga1973883197388319738831973883198483MarkingBay Tabaga19738831973883197388319738831973883MarkingBay Tabaga197388197388319738831973883198483MarkingBay Tabaga19738819738831973883198483MarkingMarkingBay Tabaga1973881973883197388319848MarkingMarkingBay Tabaga197888197888197888197888197888MarkingBay Tabaga197888197888197888197888197888197888Bay Tabaga19789197888197898197898197898197898197898Bay Tabaga19789197898197898197898197898197898197898Bay Tabaga19799197998197978197978197978197978197978197978Bay Tabaga19799197998197978197978197978197978197978197978Bay Tabaga19799197998197978197978197978197978197978197978Bay Tabaga19799197998197978197978197978197978197978197978Bay Tabaga19799197998197978197978197978197978197978197978Bay Tabaga1979919799819	Spire Europe Limited	8/1/2011	1st Floor	917-388-8607		Proprietary
Arthony <t< td=""><td>Spire Master Fund, Ltd.</td><td>10/5/2010</td><td>Hamilton Bermuda HMCX</td><td>212-219-6063</td><td></td><td>Hedge Fund</td></t<>	Spire Master Fund, Ltd.	10/5/2010	Hamilton Bermuda HMCX	212-219-6063		Hedge Fund
and and set of the set of th	Spire X Trading, LLC	4/1/2013	11th Floor	917-388-8625		Proprietary
and microlingproductionproductionproductionproductionproductionproductionLak LAR Action100000100000010000001000000100000010000001000000Back LAR Action100000100000010000001000000100000010000001000000Back LAR Action10000010000001000000010000001000000100000010000001000000Back LAR Action100000100000010000000100000010000001000000100000010000001000000Back LAR Action1000001000000100000010000001000000100000010000001000000100000010000001000000100000010000001000000010000001000000100000010000001000000100000010000001000000100000010000001000000100000010000001000000100000010000001000000010000001000000100000001000000010000000100000001000000000001000000000000100000000000000001000000000000000000000000000000000000	Starpoint Securities, LC	12/15/2010	Suite 200	913-642-6613		Proprietary
and outcome income in	State Street Global Markets, LLC	3/15/2011	One Lincoln Street	617-664-4809	Member	Full Service
name<	Stock USA Execution Services, Inc.	10/14/2010	1717 Route 6 Suite 102 Carmel, NY 10542	845-531-2631	Member	Agency
bayer bancer sourceinitialclock bar sourceinitialclock bar sourceinitialsourceinitialsourceinitialsourceinitialsourceinitialsourceinitialiniti	Sun Trading, LLC	10/1/2010	Suite 300	312-924-4751	Member	Proprietary
adjustancia1000013ak 23 bas 23 bas 23 bas 23 bas 23 bas 24 bas 24 bas 2460 60 17-299Mane bas bas 24 bas 24 	Sungard Brokerage & Securities Services, LLC (formerly Assent, LLC)	10/1/2010	2100 Enterprise Avenue	201-356-1488	Member	Agency
Sapahan Fanani Gong LLPSubsci<SubsciSubsciSubsciSubsciSubsciSubsciSubsciSubsciSubsciSubsciSubsciSubsciSubsciSubsciSubsciSu	Susquehanna Capital Group	10/5/2010	Suite 220	610-617-2996	Member	Institutional / Agency
NAmber Charks, NA.Sandon </td <td>Susquehanna Financial Group, LLLP</td> <td>10/5/2010</td> <td>401 City Avenue Suite 220</td> <td>610-617-2999</td> <td>Member</td> <td>Institutional / Agency</td>	Susquehanna Financial Group, LLLP	10/5/2010	401 City Avenue Suite 220	610-617-2999	Member	Institutional / Agency
Taxikary investiment Fund, Lift.     Taxikary investint Fund, Lift.     Taxikary investiment Fund	TD Ameritrade Clearing, Inc.	5/3/2011	200 South 108th Avenue	402-970-5271	Member	Agency
Textbackup Insention712001Versing Single Arg in Control Single Arg in Contro	Tewksbury Investment Fund, Ltd.	11/15/2010	20th Church Street, 4th Floor	212-310-7076		Proprietary
reductory benefamed reductory benefamed benefamed benefamed 	Tewksbury Investment Fund, Ltd.	7/1/2011	Washington Mall I 20th Church Street, 4th Floor	610-971-5000		Proprietary
nem Tandang, LLC101/2010 <th< td=""><td>Tewksbury Investment Fund, Ltd.</td><td>10/17/2011</td><td>Washington Mall I 20th Church Street, 4th Floor</td><td>610-971-5000</td><td></td><td>Proprietary</td></th<>	Tewksbury Investment Fund, Ltd.	10/17/2011	Washington Mall I 20th Church Street, 4th Floor	610-971-5000		Proprietary
hkt rade, LLCSinder StateSinder StateSinder StateSinder StateTak Data Bearding Component19102001122 Comp Hand smm17.692.3091MenderToTak Data Bearding Component91070012010 Minited Partons Bar Los Com BoldsmithSin 2025 MinitedMenderMenderTakebat Systems, Inc.91070012010 Minited Partons Bar Los Com BoldsmithSin 2025 MinitedMenderMenderMenderTakebat Systems, Inc.91070012000 Wind Sin 2016 Bar Los Com BoldsmithSin 2025 Wind Sin 2016 Bar Los Com BoldsmithSin 2025 Wind Sin 2016 Bar Los Com BoldsmithMenderMenderTakebat Searche State91070012000 Wind Sin 2016 Bar Los Com BoldsmithSin 2017 Wind Sin 2018 	Themis Trading, LLC	10/1/2010	10 Town Square Suite 100	866-384-3647	Member	Agency
Tab Data Beaurities Corporation9192000919200097182030097182030000971820300000000000000000000000000000000000	Think Trade, LLC	10/20/2010	2210 Encintas Boulevard Suite I	760-452-2451	Dettin	Proprietary
Tradeot systems, no.91/2010Safe 70 Area Res 01, MO 6416916-285 6403MemberPoprietaryTradeking, LC (formerly Kane Reid Securities Group, Inc. dia Tradeking)11/1/5200Fold Land Ges Doulvard BBS E Land Ges Doulvard BBS E Land Ges Doulvard BBS E Land Ges Doulvard BBS E Land Ges Doulvard 	Track Data Securities Corporation	9/15/2010	1122 Coney Island Avenue	718-923-3091	Member	ATS
Tadeking, LLC (formerly Kane Reid Securities Group, Inc. due Tradeking)11/15/201896 E. Lad Bis Gue and Bis C. Lad Bis Gue and S. Lad Gue and S. Lad Bis Gue and S. Lad Bi	Tradebot Systems, Inc.	9/1/2010	Suite 700	816-285-6403	Member	Proprietary
TadeStation Securities, Inc.     Suff example     <	TradeKing, LLC (formerly Kane Reid Securities Group, Inc. dba TradeKing)	11/15/2010	888 E. Las Olas Boulevard Suite 300	561-271-9290	Member	Agency
Tradeworx Epailon, LLC 110/20/2010 211 Centervile Read State 4000 732.450.8401 Sponsored Participant Poprietary   Tradeworx LUSP, LLC 112/12/010 110 BodS Street Trade Floor Red Bark, KU 07701 732.450.8402 Sponsored Participant Poprietary   Tudor Pickering Holt & Co. Securities, Inc. 101/17/2011 111 Bagby Hond Proceed Floor Red Bark, KU 07701 713.333.2976 Member Agency   Tudor Pickering Holt & Co. Securities, Inc. 101/17/2011 110/15/2010 100 Avenue of the Americas 400 Ave	TradeStation Securities, Inc.	9/1/2010	8050 SW 10th Street Suite 2000	954-652-7856	Member	Market Maker
Tradework LUSP, LLC 12/12/201 10 For od Street Red Bank, NU 7701 732-450-8402 \$ponsored Participant proprietary   Tudor Pickering Hot & Co. Securities, Inc. 10/17/201 1101/17/201 1111 Bagby State 4900 713-332-2976 Member Agency   Two Sigma Securities, LLC 10/05/2010 100 Avenue of the Americas New York, NY 10013 646-292-6643 Member Porietary   QLS Securities, LLC 10/17/201 100 Avenue of the Americas New York, NY 10013 203-719-3275 Member Porietary   Vervarde Securities, Inc. 11/17/2010 128-58 Avenue of the Americas State 105 Scale 102-0306 Member porietary   Vervarde Securities, Inc. 11/17/2010 101/2010 128-4840 Scale 105 Scale 102-0306 Member porietary   Vervarde Securities, Inc. 11/17/2010 101/2010 101/2010 101/2010 101-06-05 101-06-05 101-06-05 100-06-0	Tradeworx Epsilon, LLC	10/20/2010	2711 Centerville Road Suite 400	732-450-8401		Proprietary
Tudor Pickering Hot & Co. Securities, Inc.110/17/20111111 Bapby Suite 4900 Houston, TX. 77002713.33.2976MemberAgenyTwo Sigma Securities, LLC100 / Areuse of the Americas 4th Floor100 / Areuse of the Americas 4th Floor646-292.6643MemberProprietaryUBS Securities, LLC101/120101285 / Areuse of the Americas New York, NY 10013203.719.3275MemberAgencyView Tack, SLC111/15/20101285 / Areuse of the Americas Sufe 100203.719.3276MemberAgencyView Tack, SLC111/15/20101285 / Areuse of the Americas Sufe 100212.418.0118MemberAgencyView Tack, SLLC111/15/2010645 / Matson Areuse Sufe 100212.418.0118MemberProprietaryView Tack, SLLC111/15/2010307 Camp Craft Road New York, NY 10022310.651.9757MemberProprietaryVision Financial Markets, LLC (formerly EWT, LLC)111/15/201011/15/2010317.61067213.288.2675MemberAgencyWalls Street Access101/17/201117.8114917.81149213.235.2602MemberAgencyWalls Street Access101/17/201117.811491820213.268.4575MemberMarket MateryWebush Securities, Inc.101/15/2010100.Wielkie Bodeward 1800 Busheess Context213.688.4575MemberMarket Matery	Tradeworx LUSP, LLC	12/1/2010	10 Broad Street Third Floor	732-450-8402		Proprietary
Two Sigma Securities, LLC 10/5/2010 10/5/2010 10/4 venue of the Americas New York, NY 10013 646-292-6643 Member Poprietary   UBS Securities, LLC 10/1/2010 1285 Avenue of the Americas Sufe 105 203-719-3275 Member Full Service   Verwtrade Securities, Inc. 11/15/2010 7280 W, Palmetto Park Road Sufe 105 561-620-0306 Member Agency   Virtu Financial BD, LLC 11/15/2010 645 Madison Avenue New York, NY 10022 521-418-0118 Member proprietary   Virtu Financial Capital Markets, LLC (formerly EWT, LLC) 91/12010 91/12010 907 Camp Craft Road New York, NY 10022 310-651-9757 Member proprietary   Virtu Financial Markets, LLC 11/15/2010 11/15/2010 11/15/2010 11/16 Ridge Park Standford, CT 06905 310-651-9757 Member Reali   Virtu Financial Markets, LLC 11/15/2010 11/15/2010 11/16 Ridge Park Standford, CT 06905 203-388-2675 Member Agency   Virtu Financial Markets, LLC 11/15/2010 11/15/2010 11/16 Ridge Park Standford, CT 06905 212-232-5602 Member Agency   Walley Trading, LLC 11/15/201 11/15/2010 11/16 Ridge Park Standford, CT 06905 121-232-5602 Member Agency   Walley Trading, LLC 11/15/2010 11/15/201	Tudor Pickering Holt & Co. Securities, Inc.	10/17/2011	1111 Bagby Suite 4900	713-333-2976		Agency
UBS Securities, LLC10/1/20101285 Avenue of the Americas New York, NY 10019203-719-3275MemberFull ServiceVerkrade Securities, Inc.11/15/20107280 W. Palmeto Park Road Stute 105 Boca Raton, FL 33433561-620-0306MemberAgencyVirtu Financial BD, LLC11/15/2010645 Madison Avenue 161 Floor New York, NY 10022521-2418-0118MemberProprietaryVirtu Financial Capital Markets, LLC (formerly EWT, LLC)91/12010307 Camp Craft Road Wet Lake Hills, TX 78766310-651-9757MemberProprietaryVision Financial Markets, LLC11/15/201011/15/201031/16 Righ Ridge Park State for Cr 66905310-651-9757MemberRetailWalley Trading, LLC11/15/201011/15/201011/15/201011/15/2010212-232-5602MemberAgencyWaldey Trading, LLC11/15/201011/15/201011/15/20102600 Nilagra Lane North New York, NY 10004213-688-4575MemberMarket MakerWedbush Securities, Inc.91/1201011/15/201010/10/18/18 Educard 19900 Busines Conduct213-688-4575MemberMarket Maker	Two Sigma Securities, LLC	10/5/2010	100 Avenue of the Americas 4th Floor	646-292-6643	Member	Proprietary
View trade securities, inc. 11/15/2010 Suite 105 Boca Ration, FL 33433 561-620-0306 Member Agency   Virtu Financial BD, LLC 10/7/2010 645 Madison Avenue 10th Fioor New York, NY 10022 212-418-0118 Member Poprietary   Virtu Financial Capital Markets, LLC (formerly EWT, LLC) 9/1/2010 307 Camp Craft Road West Lake Hills, TX 78746 310-651-9757 Member Poprietary   Vision Financial Markets, LLC 11/15/2010 11/15/2010 4 High Ridge Park Suite 100 203-388-2675 Member Retail   Wall Street Access 10/17/2011 11/15/2010 11/15/2010 212-232-5602 Member Agency   Walleye Trading, LLC 11/15/2010 11/15/2010 200 Niagara Lane North Pymouth, NN 55447 952-345-5226 Member Agency   Wadbush Securities, Inc. 9/1/2010 1000 Wishire Boulevard #900 213-688-4575 Member Market Maker	UBS Securities, LLC	10/1/2010	1285 Avenue of the Americas	203-719-3275	Member	Full Service
Viru Financial BD, LLC 10/7/2010 645 Madison Avenue New York, NY 10022 212-418-0118 Member Proprietary   Viru Financial Capital Markets, LLC (formerly EWT, LLC) 9/1/2010 307 Camp Craft Road West Lake Hills, TX 78746 310-651-9757 Member Proprietary   Vision Financial Markets, LLC 11/15/2010 11/15/2010 307 Camp Craft Road West Lake Hills, TX 78746 203-388-2675 Member Retail   Vision Financial Markets, LLC 11/15/2010 11/15/2010 11/15/2010 212-232-5602 Member Retail   Wall Street Access 10/17/2011 11/15/2010 200 Nagara Lane North New York, NY 10004 212-232-5602 Member Agency   Waldbush Securities, Inc. 9/1/2010 10/11/15/2010 200 Nagara Lane North New York, NY 10004 952-345-5226 Member Market Maker	Viewtrade Securities, Inc.	11/15/2010	Suite 105	561-620-0306	Member	Agency
Virtu Financial Capital Markets, LLC (formerty EWT, LLC) 9/1/2010 307 Camp Craft Road West Lake Hills, TX 78746 310-651-9757 Member Proprietary   Vision Financial Markets, LLC 11/15/2010 4 High Ridge Park Stamford, CT 06905 203-388-2675 Member Retail   Wall Street Access 10/17/2011 17 Battery Place New York, NY 10004 212-232-5602 Member Agency   Walleye Trading, LLC 11/15/2010 2800 Niagara Lane North Pymouth, NN 55447 952-345-5226 Member Market Maker	Virtu Financial BD, LLC	10/7/2010	645 Madison Avenue 16th Floor	212-418-0118	Member	Proprietary
Vision Financial Markets, LLC     Suite 100     Suite 100     203-388-2675     Member     Retail       Wall Street Access     10/17/2011     17 Battery Place 11th Floor New York, NY 10004     212-232-5602     Member     Agency       Walleye Trading, LLC     11/15/2010     2800 Niagara Lane North Pymouth, NN 55447     952-345-5226     Member     Market Maker       Wedbush Securities, Inc.     99/1/2010     1000 Wilshire Boulevard #900 Business Conduct     213-688-4575     Member     Market Maker	Virtu Financial Capital Markets, LLC (formerly EWT, LLC)	9/1/2010	307 Camp Craft Road	310-651-9757	Member	Proprietary
Wall Street Access     10/17/2011     17 Battery Place 11h Floor     212-232-5602     Member     Agency       Walleye Trading, LLC     2800 Niagara Lane North Pymouth, MN 55447     952-345-5226     Member     Market Maker       Wedbush Securities, Inc.     99//2010     91//2010     1000 Wilshire Boulevard #900 Business Conduct     213-688-4575     Member     Market Maker	Vision Financial Markets, LLC	11/15/2010	Suite 100	203-388-2675	Member	Retail
Waleye Trading, LLC 11/15/2010 2800 Niagara Lane North Pymouth, NN 55447 952-345-5226 Member Market Maker   Wedbush Securities, Inc. 99//2010 1000 Wilshire Boulevard #900 Business Conduct 213-688-4575 Member Market Maker	Wall Street Access	10/17/2011	17 Battery Place 11th Floor	212-232-5602	Member	Agency
9/1/2010 Business Conduct 213-688-4575 Member Market Maker	Walleye Trading, LLC	11/15/2010	2800 Niagara Lane North	952-345-5226	Member	Market Maker
	Wedbush Securities, Inc.	9/1/2010	1000 Wilshire Boulevard #900	213-688-4575	Member	Market Maker

Company Name	Date Approved by BATS	Address	Phone Number	Type of User	Primary Activities
Weøpden & Co, LP ♥	10/19/2010	145 Mason Street Greenwich, CT 06830	203-861-7600	Member	Full Service
Wells Fargo Prime Services, LLC (formerly Merlin Securities, LLC)	5/16/2011	45 Fremont Street 30th Floor San Francisco, CA 94105	415-848-4056	Member	Market Maker
Wells Fargo Securities, LLC	10/11/2010	550 South Tryon Street, 6th Floor D1086-060 Charlotte, NC 28202	212-214-6458	Member	Agency
Western International Securities, Inc.	11/15/2010	70 South Lake Avenue 7th Floor Pasadena, CA 91101	626-710-3110	Member	Market Maker
White Bay PT, LLC	7/16/2012	2 Rector Street 16th Floor New York, NY 10006	646-651-4380	Member	Proprietary
WhoTrades, Inc.	8/15/2013	17 State Street 7th Floor New York, NY 10004	646-346-1000	Member	Retail
Wolverine Execution Services LLC	10/19/2010	175 West Jackson Boulevard Suite 200 Chicago, IL 60604	312-884-3736	Member	Market Maker
WR Hambrecht & Co., LLC	10/6/2010	909 Montgomery Street 3rd Floor San Francisco, CA 94133	415-551-8642	Member	Online Discount Brokerage Firm
Xambala Capital, LLC	2/15/2012	640 W. California Avenue Suite 220 Sunnyvale, CA 94086	408-990-1942	Member	Proprietary
Xambala Capital, LLC	12/18/2012	640 W. California Avenue Suite 220 Sunnyvale, CA 94086	408-990-1942	Sponsored Participant	Proprietary
XR Securities, LLC	11/15/2010	550 W. Jackson Boulevard Suite #1000 Chicago, IL 60661	312-244-4672	Member	Proprietary

Attachment to Exhibit M

