

Form 1 Page 1 Execution Page	<b>UNITED STATES SECURITIES AND EXCHANGE COMMISSION</b> <b>WASHINGTON, D.C. 20549</b> <b>APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR, REGISTRATION</b> <b>AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION FROM REGISTRATION</b> <b>PURSUANT TO SECTION 5 OF THE EXCHANGE ACT</b>	Date filed (MM/DD/YY): 10/28/16	OFFICIAL USE ONLY
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Warning: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise comply with the provisions of law applying to the conduct of the applicant would violate the federal securities laws and may result in disciplinary, administrative or criminal action

INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS

APPLICATION  AMENDMENT

1. State the name of the applicant: Miami International Securities Exchange, LLC
2. Provide the applicant's primary street address (Do not use a P.O. Box): 7 Roszel Road, Suite 5-A, Princeton, NJ 08540
3. Provide the applicant's mailing address (if different):
4. Provide the applicant's business telephone and facsimile number:  
Telephone: 609-897-7300; Facsimile: 609-987-2210
5. Provide the name, title and telephone number of a contact employee:  
Barbara J. Comly, EVP, General Counsel & Corporate Secretary  
609-897-7315
6. Provide the name and address of counsel for the applicant:  
Barbara J. Comly, EVP, General Counsel & Corporate Secretary  
Miami International Securities Exchange, LLC  
7 Roszel Road, Suite 5-A  
Princeton, NJ 08540
7. Provide the date applicant's fiscal year ends: December 31
8. Indicate legal status of applicant:  Corporation  Sole Proprietorship  Partnership  
 Limited Liability Company  Other (specify):

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If other than a sole proprietor, indicate the date and place where applicant obtained its legal status (e.g. state where incorporated, place where partnership agreement was filed or where applicant entity was formed):

(a) Date (MM/DD/YY): 9/10/07 (b) State/Country of formation: Delaware

(c) Statute under which applicant was organized: Delaware Limited Liability Company Act, 6 Del. C. 18-1d et seq.

**EXECUTION:** The applicant consents that service of any civil action brought by, or notice of any proceeding before, the Securities and Exchange Commission in connection with the applicant's activities may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2 and 3. The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with the authority of, said applicant. The undersigned and applicant represent that the information and statements contained herein, including exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true, and complete.

MIAMI INTERNATIONAL SECURITIES EXCHANGE, LLC

Date: October 28, 2016

By: Barbara J. Comly  
Barbara J. Comly  
EVP, General Counsel & Corporate Secretary

Subscribed and sworn before me this 28<sup>th</sup> day of October, 2016.

Jane Post  
Jane Post  
Notary Public of the State of New Jersey  
My Commission Expires October 27, 2019

This page must always be completed in full with original, manual signature and notarization.  
Affix notary stamp or seal where applicable.



Barbara J. Comly  
General Counsel

7 Roszel Road, Suite 5-A  
Princeton, New Jersey 08540  
T 609 897 7300  
F 609 987 2210  
bcomly@miami-holdings.com

October 28, 2016

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**VIA FEDERAL EXPRESS**

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

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**Re: Miami International Securities Exchange, LLC ("MIAX Options")  
Amendment No. 39 to Form 1 Application**

Dear Ms. Marshall:

Enclosed for official filing pursuant to Rule 6a-2(a) are an original and two copies of Amendment No. 39 to the Form 1 Application of MIAX Options, which includes the following changes:

Exhibit M – Updated Member List – LEK Securities Corporation terminated their membership

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

Very truly yours,

Barbara J. Comly  
EVP, General Counsel &  
Corporate Secretary

Enclosures

cc: Marlene Olsen



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Barbara J. Comly  
General Counsel

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October 28, 2016

**VIA FEDERAL EXPRESS**

Jeannette Marshall  
Division of Trading and Markets  
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Very truly yours,

Barbara J. Comly  
EVP, General Counsel &  
Corporate Secretary

Enclosures

cc: Marlene Olsen ✓



## **EXHIBIT M**

### **Exhibit Request:**

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

- 1. Name;**
- 2. Date of election to membership or acceptance as a member, subscriber or other user;**
- 3. Principal business address and telephone number;**
- 4. If member, subscriber or other user is an individual, the name of the entity with which such individual is associated and the relationship of such individual to the entity (e.g. partner, officer, director, employee, etc.);**
- 5. Describe the type of activities primarily engaged in by the member, subscriber, or other user (e.g. floor broker, specialist, odd lot dealer, other market maker, proprietary trader, non-broker dealer, inactive or other functions). A person shall be “primarily engaged” in an activity or function for purposes of this item when that activity or function is the one in which that person is engaged for the majority of their time. When more than one type of person at an entity engages in any of the six types of activities or functions enumerated in this item, identify each type (e.g. proprietary trader, Registered Competitive Trader and Registered Competitive Market Maker) and state the number of participants, subscribers, or other users in each; and**
- 6. The class of membership, participation or subscription or other access.**

### **Response:**

Attached is a list of the members of the Exchange as of October 25, 2016, including the information set forth in items 1-6 above.



## MEMBER FIRMS

Total Firms 44

As of 25-Oct-16

<b>ABN AMRO CLEARING CHICAGO LLC</b> 175 West Jackson Blvd., Ste. 400 Chicago IL 60604 Tele #: (312) 604-8000	Approval Date: 3/7/2013 Membership Type: ELECTRONIC EXCH. MEMBER: CLEARANCE
<b>APEX CLEARING CORPORATION</b> 350 N. St. Paul, Suite 1300 Dallas TX 75201 Tele #: (214) 765-1100	Approval Date: 11/18/2015 Membership Type: ELECTRONIC EXCH. MEMBER: CLEARANCE
<b>BARCLAYS CAPITAL INC.</b> 745 Seventh Avenue New York NY 10019 Tele #: (212) 526-7000	Approval Date: 12/7/2012 Membership Type: ALL MEMBERSHIPS
<b>BMO CAPITAL MARKETS CORP.</b> 3 Times Square, 27th Floor New York NY 10036 Tele #: (212) 885-4000	Approval Date: 10/10/2014 Membership Type: ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>BNP PARIBAS SECURITIES CORP.</b> 787 Seventh Avenue New York NY 10019 Tele #: (212) 841-2000	Approval Date: 4/21/2014 Membership Type: ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>CITADEL SECURITIES LLC</b> 131 South Dearborn Street Chicago IL 60603 Tele #: (312) 395-2100	Approval Date: 12/7/2012 Membership Type: PRIMARY LEAD & LEAD MARKET MAKER/EEM: ORDER FLOW
<b>CITI ORDER ROUTING AND EXECUTION, LLC</b> 11 Ewall Street Mt. Pleasant SC 29464 Tele #: (843) 789-2080	Approval Date: 12/7/2012 Membership Type: ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>COMPASS PROFESSIONAL SERVICES, LLC</b> 111 W. Jackson Blvd., 20th Fl. Chicago IL 60604 Tele #: (312) 692-5000	Approval Date: 12/7/2012 Membership Type: ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>CONVERGEX EXECUTION SOLUTIONS LLC</b> 1633 Broadway, 48th Floor New York NY 10019 Tele #: (212) 486-7500	Approval Date: 12/1/2014 Membership Type: ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>CREDIT SUISSE SECURITIES (USA) LLC</b> 11 Madison Avenue, 3rd Fl. New York NY 10010 Tele #: (212) 325-2000	Approval Date: 12/7/2012 Membership Type: ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>CUTLER GROUP, LP</b> 101 Montgomery Street, #700 San Francisco CA 94104 Tele #: (415) 293-3956	Approval Date: 11/2/2015 Membership Type: ELECTRONIC EXCH. MEMBER: ORDER FLOW
<b>DASH FINANCIAL LLC</b> 910 Van Buren Street, 4th Fl. Chicago IL 60607 Tele #: (847) 550-1730	Approval Date: 12/7/2012 Membership Type: ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>DEUTSCHE BANK SECURITIES INC.</b> 60 Wall Street New York NY 10005 Tele #: (212) 250-2500	Approval Date: 1/25/2013 Membership Type: ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>DRW SECURITIES, L.L.C.</b> 540 West Madison, Ste. 2500 Chicago NY 60661 Tele #: (312) 542-3231	Approval Date: 8/31/2015 Membership Type: ELECTRONIC EXCH. MEMBER: ORDER FLOW

<b>GLOBAL EXECUTION BROKERS, LP</b>	Approval Date:	12/7/2012
401 City Avenue, Ste. 200	Membership Type:	
Bala Cynwyd PA 19004	Tele #:	(610) 617-2600
	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW</b>	
<b>GOLDMAN SACHS EXECUTION &amp; CLEARING, L.P.</b>	Approval Date:	12/7/2012
200 West Street	Membership Type:	
New York NY 10282	Tele #:	(212) 902-1000
	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE</b>	
<b>GOLDMAN, SACHS &amp; CO.</b>	Approval Date:	1/15/2013
200 West Street	Membership Type:	
New York NY 10282	Tele #:	(212) 902-1000
	<b>ALL MEMBERSHIPS</b>	
<b>GROUP ONE TRADING LP</b>	Approval Date:	10/20/2014
440 South La Salle, Ste. 3232	Membership Type:	
Chicago IL 60605	Tele #:	(312) 347-8864
	<b>ALL MARKET MAKER CLASSES/EEM: ORDER FLOW</b>	
<b>HILLTOP SECURITIES INC.</b>	Approval Date:	2/8/2013
1201 Elm Street, Ste. 3500	Membership Type:	
Dallas TX 75270	Tele #:	(214) 859-1800
	<b>ELECTRONIC EXCH. MEMBER: CLEARANCE</b>	
<b>IMC-CHICAGO, LLC D/B/A IMC FINANCIAL MARKETS</b>	Approval Date:	8/26/2014
233 South Wacker Drive, #4300	Membership Type:	
Chicago IL 60606	Tele #:	(312) 244-3300
	<b>ALL MARKET MAKER CLASSES</b>	
<b>INSTINET, LLC</b>	Approval Date:	3/27/2013
1095 Avenue of the Americas	Membership Type:	
New York NY 10036	Tele #:	(212) 310-9500
	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE</b>	
<b>INTERACTIVE BROKERS LLC</b>	Approval Date:	12/7/2012
One Pickwick Plaza, 2nd Fl.	Membership Type:	
Greenwich CT 06830	Tele #:	(203) 618-5710
	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE</b>	
<b>ITG DERIVATIVES LLC</b>	Approval Date:	12/7/2012
601 S. LaSalle, Ste. 300	Membership Type:	
Chicago IL 60606	Tele #:	(312) 935-0125
	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW</b>	
<b>J.P. MORGAN SECURITIES LLC</b>	Approval Date:	12/7/2012
383 Madison Avenue	Membership Type:	
New York NY 10179	Tele #:	(201) 595-8471
	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE</b>	
<b>JEFFERIES LLC</b>	Approval Date:	9/15/2014
520 Madison Avenue	Membership Type:	
New York NY 10022	Tele #:	(212) 284-2300
	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE</b>	
<b>KCG AMERICAS LLC</b>	Approval Date:	12/7/2012
545 Washington Boulevard	Membership Type:	
Jersey City NJ 07310	Tele #:	(201) 386-2891
	<b>ALL MEMBERSHIPS</b>	
<b>LIME BROKERAGE LLC</b>	Approval Date:	12/7/2012
625 Broadway, 12th Fl.	Membership Type:	
New York NY 10012	Tele #:	(212) 824-5000
	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW</b>	
<b>MERRILL LYNCH PROFESSIONAL CLEARING CORP.</b>	Approval Date:	12/7/2012
One Bryant Park, 6th Fl.	Membership Type:	
New York NY 10036	Tele #:	(646) 743-1295
	<b>ELECTRONIC EXCH. MEMBER: CLEARANCE</b>	
<b>MERRILL LYNCH, PIERCE, FENNER &amp; SMITH INCORPORAT</b>	Approval Date:	12/7/2012
One Bryant Park	Membership Type:	
New York NY 10036	Tele #:	(212) 449-1000
	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE</b>	
<b>MORGAN STANLEY &amp; CO. LLC</b>	Approval Date:	12/7/2012
1585 Broadway	Membership Type:	
New York NY 10036	Tele #:	(212) 761-4000
	<b>ALL MEMBERSHIPS</b>	
<b>OPTIVER US LLC</b>	Approval Date:	1/27/2015
130 E. Randolph Street, Ste. 1300	Membership Type:	
Chicago IL 60601	Tele #:	(312) 821-9500
	<b>REGULAR MARKET MAKER</b>	

<b>PEAK6 CAPITAL MANAGEMENT LLC</b>	Approval Date:	7/22/2015
141 W. Jackson Blvd., Ste. 500	Membership Type:	
Chicago IL 60604 Tele #: (312) 444-8700	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW</b>	
<b>PERSHING LLC</b>	Approval Date:	3/12/2013
1 Pershing Plaza, 10th Fl.	Membership Type:	
Jersey City NJ 07399 Tele #: (201) 413-2000	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE</b>	
<b>QUANTLAB SECURITIES, LP</b>	Approval Date:	4/7/2015
4200 Montrose Blvd., Ste. 200	Membership Type:	
Houston TX 77006 Tele #: (713) 333-3700	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW</b>	
<b>SIMPLEX TRADING, LLC</b>	Approval Date:	9/20/2013
230 So. LaSalle St., Ste. 4-100	Membership Type:	
Chicago IL 60604 Tele #: (312) 360-2440	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW</b>	
<b>SUSQUEHANNA SECURITIES</b>	Approval Date:	12/7/2012
401 City Avenue, Ste. 220	Membership Type:	
Bala Cynwyd PA 19004 Tele #: (610) 617-2600	<b>PRIMARY LEAD &amp; LEAD MARKET MAKER</b>	
<b>TIMBER HILL LLC</b>	Approval Date:	12/7/2012
One Pickwick Plaza, Ste. 200	Membership Type:	
Greenwich CT 06830 Tele #: (203) 618-5800	<b>ALL MARKET MAKER CLASSES/EEM: CLEARANCE</b>	
<b>UBS SECURITIES LLC</b>	Approval Date:	12/7/2012
677 Washington Boulevard	Membership Type:	
Stamford CT 06901 Tele #: (203) 719-3000	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE</b>	
<b>VOLANT LIQUIDITY, LLC</b>	Approval Date:	5/31/2013
250 Vesey Street, Ste. 2601	Membership Type:	
New York NY 10281 Tele #: (646) 484-3000	<b>ALL MARKET MAKER CLASSES/EEM: ORDER FLOW</b>	
<b>WALLEYE TRADING LLC</b>	Approval Date:	5/13/2015
2800 Niagara Lane North	Membership Type:	
Plymouth MN 55447 Tele #: (952) 345-6611	<b>REGULAR MARKET MAKER/EEM: ORDER FLOW</b>	
<b>WEDBUSH SECURITIES INC.</b>	Approval Date:	12/7/2012
1000 Wilshire Boulevard	Membership Type:	
Los Angeles CA 90017 Tele #: (213) 688-8090	<b>ELECTRONIC EXCH. MEMBER: CLEARANCE</b>	
<b>WELLS FARGO SECURITIES, LLC</b>	Approval Date:	4/11/2014
550 South Tryon Street, 6th Floor	Membership Type:	
Charlotte NC 28202 Tele #: (704) 715-6133	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE</b>	
<b>WOLVERINE EXECUTION SERVICES, LLC</b>	Approval Date:	12/7/2012
175 W. Jackson Blvd., Ste. 200	Membership Type:	
Chicago IL 60604 Tele #: (312) 884-4000	<b>ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE</b>	
<b>WOLVERINE TRADING, LLC</b>	Approval Date:	12/7/2012
175 W. Jackson Blvd., Ste. 200	Membership Type:	
Chicago IL 60604 Tele #: (312) 884-3490	<b>PRIMARY LEAD &amp; LEAD MARKET MAKER</b>	

**For MIH Restricted and Proprietary information:**

MIH Restricted – Confidential and Proprietary Information of Miami International Holdings, Inc. and its subsidiaries