

Form 1 Page 1 Execution Page	<b>UNITED STATES SECURITIES AND EXCHANGE COMMISSION</b> WASHINGTON, D.C. 20549 <b>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</b>	Date filed (MM/DD/YY):  11/30/16	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, SEC  
Princeton, NJ 08540

Mail Processing  
Section

3. Provide the applicant's mailing address (if different):

DEC 01 2016

4. Provide the applicant's business telephone and facsimile number:  
Telephone: 609-897-7300; Facsimile: 609-987-2210

Washington  
SEC

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: November 30, 2016

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

Subscribed and sworn before me this 30<sup>th</sup> day of November, 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.



## **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 November 29, 2016, including the information set forth in items 1-6 above.



## MEMBER FIRMS

Total Firms 45

As of 29-Nov-16

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

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

<b>PEAK6 CAPITAL MANAGEMENT LLC</b>	Approval Date: 7/22/2015
141 W. Jackson Blvd., Ste. 500	Membership Activities:
Chicago IL 60604 Tele #: (312) 444-8700	ELECTRONIC EXCH. MEMBER: ORDER FLOW
<b>PERSHING LLC</b>	Approval Date: 3/12/2013
1 Pershing Plaza, 10th Fl.	Membership Activities:
Jersey City NJ 07399 Tele #: (201) 413-2000	ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>QUANTLAB SECURITIES, LP</b>	Approval Date: 4/7/2015
Three Greenway Plaza	Membership Activities:
Houston TX 77046 Tele #: (713) 333-5440	ELECTRONIC EXCH. MEMBER: ORDER FLOW
<b>SIMPLEX TRADING, LLC</b>	Approval Date: 9/20/2013
230 So. LaSalle St., Ste. 4-100	Membership Activities:
Chicago IL 60604 Tele #: (312) 360-2440	ELECTRONIC EXCH. MEMBER: ORDER FLOW
<b>SUSQUEHANNA INVESTMENT GROUP</b>	Approval Date: 11/23/2016
401 City Avenue, Ste. 201	Membership Activities:
Bala Cynwyd PA 19004 Tele #: (610) 617-2600	REGULAR MARKET MAKER
<b>SUSQUEHANNA SECURITIES</b>	Approval Date: 12/7/2012
401 City Avenue, Ste. 220	Membership Activities:
Bala Cynwyd PA 19004 Tele #: (610) 617-2600	PRIMARY LEAD & LEAD MARKET MAKER
<b>TIMBER HILL LLC</b>	Approval Date: 12/7/2012
One Pickwick Plaza, Ste. 200	Membership Activities:
Greenwich CT 06830 Tele #: (203) 618-5800	ALL MARKET MAKER CLASSES/EEM: CLEARANCE
<b>UBS SECURITIES LLC</b>	Approval Date: 12/7/2012
677 Washington Boulevard	Membership Activities:
Stamford CT 06901 Tele #: (203) 719-3000	ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>VOLANT LIQUIDITY, LLC</b>	Approval Date: 5/31/2013
250 Vesey Street, Ste. 2601	Membership Activities:
New York NY 10281 Tele #: (646) 484-3000	ALL MARKET MAKER CLASSES/EEM: ORDER FLOW
<b>WALLEYE TRADING LLC</b>	Approval Date: 5/13/2015
2800 Niagara Lane North	Membership Activities:
Plymouth MN 55447 Tele #: (952) 345-6611	REGULAR MARKET MAKER/EEM: ORDER FLOW
<b>WEDBUSH SECURITIES INC.</b>	Approval Date: 12/7/2012
1000 Wilshire Boulevard	Membership Activities:
Los Angeles CA 90017 Tele #: (213) 688-8090	ELECTRONIC EXCH. MEMBER: CLEARANCE
<b>WELLS FARGO SECURITIES, LLC</b>	Approval Date: 4/11/2014
550 South Tryon Street, 6th Floor	Membership Activities:
Charlotte NC 28202 Tele #: (704) 715-6133	ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>WOLVERINE EXECUTION SERVICES, LLC</b>	Approval Date: 12/7/2012
175 W. Jackson Blvd., Ste. 200	Membership Activities:
Chicago IL 60604 Tele #: (312) 884-4000	ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>WOLVERINE TRADING, LLC</b>	Approval Date: 12/7/2012
175 W. Jackson Blvd., Ste. 200	Membership Activities:
Chicago IL 60604 Tele #: (312) 884-3490	PRIMARY LEAD & LEAD MARKET MAKER

For MIH Restricted and Proprietary information:

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