

Form 1 Page 1 Execution Page

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# UNITED STATES SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549

Date filed (MM/DD/YY):

OFFICIAL LISE

APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR, REGISTRATION AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION FROM REGISTRATION PURSUANT TO SECTION 5 OF THE EXCHANGE ACT.

WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of the applicant would violate the federal securities laws and may result in disciplinary, administrative, or criminal action. INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS MENDMENT □ APPLICATION ISE Genuni, LLC State the name of the applicant: 60 Broad Street Provide the applicant's primary street address (Do not use a P.O. Box): Mail Processin
Section

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Washington DC
9 5 5 412 Provide the applicant's mailing address (if different): 4. Provide the applicant's business telephone and facsimile number: 212 943 - 2400 (Telephone) 5. Provide the name, title, and telephone number of a contact employees Ronan Cahill Senior (Name) (Telephone Number) 6. Provide the name and address of counsel for the applicant: Simpr 1090 100014 31 Provide the date applicant's fiscal year ends: Indicate legal status of applicant: □ Sole Proprietorship □ Partnership ☐ Corporation ☑ Limited Liability Company ☐ Other (specify): If other than a sole proprietor, indicate the date and place where applicant obtained its legal status (e.g. state where incorporated, place where partnership agreement was filed or where applicant entity was formed): 012 (b) State/Country of formation: (c) Statute under which applicant was organized: 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 berewith, all of which are made a part hereof, are current, true, and complete. Date: (Name of applicant) (MM/DD/YY) Bv: (Printed Name and Title) (Signature) day of Subscribed and sworn before me this

(Year)

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This page must always be completed in full with original, manual signature and nota

Affix notary stamp or seal where applicable.

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SEC Mail Processing Section

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November 30, 2016

Washington DC 412

VIA FEDERAL EXPRESS

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

Securities and Exchange

OFC 05 2016

RECEIVER

Re:

ISE Gemini, LLC

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

Dear Ms. Marshall:

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

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

## **Options**

New Listings:

http://ise.com/newlistings

Delistings:

http://ise.com/delistings

Expiration Notices:

http://ise.com/expirationnotices

Series Additions/Deletions:

http://ise.com/serieslist

Market Information Circulars:

http://ise.com/mics

#### **Index Options**

Recent Index Changes:

http://ise.com/indexchanges

Index Settlement Values:

http://ise.com/indexsettlement

#### Legal & Regulatory

Regulatory Information Circulars:

http://www.ise.com/rics

Rules:

http://www.ise.com/rules

## **Marketing Material**

Press Releases:

www.ise.com/press

Publications:

http://www.ise.com/publications

# Corporate

Board Members:

http://www.ise.com/about-ise/board-of-directors/

Constitution:

 $\underline{http://www.ise.com/media/92473/Constitution-of-Topaz-Exchange-31-Jul-13-name-change-to-ISE-Gemini-.pdf}\\$ 

LLC Agreement:

 $\underline{\text{http://www.ise.com/media/103279/Executed-Second-Amended-and-Restated-LLC-Agreement-18-Dec-2014-.pdf}$ 

Exchange Officers:

http://www.ise.com/about-ise/management-team/

#### Members

List of ISE Members

http://www.ise.com/options/membership/exchange-members/

## **Transactional Volume**

Volume Report

http://www.ise.com/options/exchange-data/

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

Sincerely

Ronan Cahill

Senior Legal & Regulatory Associate

# Exhibit M

# Changes since November 10, 20162

# Approved Members:

Simplex Trading, LLC
230 S. LaSalle St., Suite 4-100
Chicago, IL 60604
Contact: Angela Lucas 312-360-2483
Electronic Access Member (Proprietary Business)
Electronic Access Member Trading Right