

Member or SRO Group:

MEMX LLC (“MEMX”)

- Is the Member for-profit or not-for-profit?

For-profit

- If the Member is for-profit, is it publicly or privately owned?

Privately owned

- If privately owned, list any owner with an interest of 5% or more of the Member, where to the Member's knowledge, such owner, or any affiliate controlling, controlled by, or under common control with the owner, subscribes, directly or through a third-party vendor, to CT Feeds and/or Member PDP.

MEMX is a consortium-owned initiative backed by many of the largest U.S. retail broker-dealers, global banks, financial services firms and global market makers. MEMX is owned by MEMX Holdings LLC (“MEMX Holdings”) and does not have any other 5% direct owners.

Without regard to the 5% threshold indicated above, investors in MEMX Holdings or their affiliates that subscribe to CT Feeds and/or exchange PDP include: Bank of America, Belvedere Trading, BlackRock, Charles Schwab, Citadel Securities, Citigroup, CTC, E\*TRADE, Fidelity Investments, Flow Traders, Goldman Sachs, IMC, Jane Street, J.P. Morgan, Morgan Stanley, Optiver, TD Ameritrade, UBS, Virtu Financial, Wells Fargo, Wolverine Trading, and Williams Trading.

- Does the Member offer PDP?

Yes, MEMX offers Proprietary Market Data as described in Rule 13.8 of the [MEMX Rules](#).

- If yes, list each product, describe its content, and provide a link to where fees for each product are disclosed.

MEMX charges fees for proprietary data products as set forth on the MEMX Fee Schedule, available at <https://info.memxtrading.com/equities-trading-resources/us-equities-fee-schedule/>.

The data products MEMX offers include:

- a) **MEMOIR Depth.** MEMOIR (MEMber’s Order Information Record) Depth is a data feed that contains all displayed orders for listed securities trading on the Exchange,

order executions, order cancellations, order modifications, order identification numbers, and administrative messages.

- b) **MEMOIR Top.** MEMOIR Top is an uncompressed data feed that offers top of book quotations and execution information based on equity orders entered into the System.
  - c) **MEMOIR Last Sale.** MEMOIR Last Sale is an uncompressed data feed that offers only execution information based on equity orders entered into the System.
- Provide the names of the Voting Representative, any alternate Voting Representatives designated by the Member, and any Member Observers. Also provide a narrative description of such persons' roles within the Member organization, including the title of each individual as well as any direct responsibilities related to the development, dissemination, sales, or marketing of the Member's PDP, and the nature of those responsibilities sufficient for the public to identify the nature of any potential conflict of interest that could be perceived by a reasonable objective observer as having an effect on the operation of the Company. If such persons work in or with the Member's PDP business, describe such persons' roles and describe how that business and such persons' Company responsibilities impacts their compensation. In addition, describe how such persons' responsibilities with the PDP business may present a conflict of interest with their responsibilities to the Company.

#### Primary voting representative

- **Name and title:** Adrian Griffiths, Head of Market Structure.
- **Responsibilities related to Proprietary Market Data:** As Head of Market Structure, Mr. Griffiths conducts research, participates in public panels, and produces content regarding various market structure topics, including topics related to market data and NMS Plans. As a MEMX employee, Mr. Griffiths is generally involved in discussions about MEMX's business, including Proprietary Market Data products and any applicable fees for such products. There is no direct association between Mr. Griffiths' compensation and Proprietary Market Data offered by MEMX.

#### Alternate voting representative

- **Name and title:** Dominick Paniscotti, Chief Technology Officer/Chief Information Officer.
  - **Responsibilities related to Proprietary Market Data:** As Chief Technology Officer and Chief Information Officer, Mr. Paniscotti oversees development and maintenance of MEMX technology, including the systems necessary to compile and disseminate Proprietary Market Data. As a member of the MEMX Management Team, Mr. Paniscotti is generally involved in discussions about MEMX's business, including Proprietary Market Data products and any applicable fees for such products. There is no direct association between Mr. Paniscotti's compensation and Proprietary Market Data offered by MEMX.
- Does the Member, its Voting Representative, its alternate Voting Representative, its Member Observers, or any affiliate have additional relationships or material economic interests that

could be perceived by a reasonable objective observer to present a potential conflict of interest with their responsibilities to the Company? If so, provide a detailed narrative discussion of all material facts necessary to identify the potential conflicts of interest and the effects they may have on the Company.

**No.**