

MIAX Pearl Equities Exchange Regulatory Circular 2021-02

DATE: March 15, 2021
TO: MIAX Pearl Equities Members
FROM: MIAX Pearl Equities Regulatory Department
RE: MIAX Pearl Equities Rules Incorporated by Reference

MIAX PEARL Equities has received approval from the Securities and Exchange Commission to incorporate by reference existing rules of the Financial Industry Regulatory Authority (“FINRA”) and/or Miami International Securities Exchange, LLC (“MIAX”), an affiliate of MIAX PEARL. The rules incorporated by reference are listed below.

- Rule 2101 (Violations Prohibited) cross-references MIAX Rule 300 (Adherence to Law),
- Rule 2104 (Communications with the Public) cross-references FINRA Rule 2210 (Communications with the Public) (except for paragraph (c) of FINRA Rule 2210),
- Rule 2105 (Know Your Customer) cross-references FINRA Rule 2090 (Know Your Customer),
- Rule 2107 (Suitability) cross-references FINRA Rule 2111 (Suitability),
- Rule 2119 (Telemarketing) cross-references MIAX Rule 1325 (Telemarketing),
- Rule 2200 (General Requirements) cross-references FINRA Rule 4511 (General Requirements),
- Rule 2201 (Customer Account Information) cross-references FINRA Rule 4512 (Customer Account Information),
- Rule 2203 (Record of Written Complaints) cross-references FINRA Rule 4513 (Records of Written Customer Complaints),
- Rule 2204 (Disclosure of Financial Condition) cross-references MIAX Rule 1313 (Statement of Financial Condition to Customers),
- Rule 2302 (Annual Certification of Compliance and Supervisory Processes) cross-references FINRA Rule 3130 (Annual Certification of Compliance and Supervisory Processes),
- Rule 2303 (Prevention of the Misuse of Material, Non-Public Information) cross-references MIAX Rule 303, (Prevention of the Misuse of Material Non-Public Information),
- Rule 2304 (Anti-Money Laundering Compliance Program) cross-references MIAX Rule 315 (Anti-Money Laundering Compliance Program),
- Rule 2305 (Transactions for or by Associated Persons) cross-references FINRA Rule 3210 (Accounts at Other Broker-Dealers and Financial Institutions),
- Rule 2712 (Trading Ahead of Research Reports) cross-references MIAX Rule 320 (Trading Ahead of Research Reports),
- Rule 2714 (Front Running of Block Transactions) cross-references FINRA Rule 5270 (Front Running of Block Transactions), and
- Rule 2715 (Disruptive Quoting and Trading Activity Prohibited) cross-references MIAX Rule 322 (Disruptive Quoting and Trading Activity Prohibited).

MIAX PEARL Equities agrees to provide written notice to its Members whenever FINRA or MIAX proposes a change to a cross-referenced rule.

Regulatory inquiries should be directed to Regulatory@MIAXEquities.com or (609) 897-7309.