

DATE: September 19, 2017

TO: MIAX PEARL Members

FROM: MIAX PEARL Regulatory Department

RE: Rule Change Notice - FINRA Arbitration Rules 12100 and 13100

Financial Industry Regulatory Authority, Inc. (“FINRA”) has received approval to amend FINRA Rule 12100 of the Code of Arbitration Procedure for Customer Disputes and FINRA Rule 13100 of the Code of Arbitration Procedure for Industry Disputes. The approved rule change will permit any person who is disqualified from service as a public arbitrator, but otherwise qualified to serve as an arbitrator, to serve as a non-public arbitrator. The Federal Register Notice for this approved rule change can be found at the following location:
<https://www.gpo.gov/fdsys/pkg/FR-2017-09-15/pdf/2017-19582.pdf>.

Chapter XI of MIAX PEARL Rules incorporates by reference the rules of FINRA relating to arbitration of disputes. MIAX PEARL is required to inform its Members of rule changes to FINRA’s arbitration rules published by the Securities and Exchange Commission.

Please direct any questions to the Regulatory Department at 609-897-7309 or
Regulatory@MIAXOptions.com.