

MIAX Options Exchange Regulatory Circular 2023-53
MIAX Pearl Options Exchange Regulatory Circular 2023-47
MIAX Emerald Options Exchange Regulatory Circular 2023-48
MIAX Pearl Equities Exchange Regulatory Circular 2023-15

DATE: September 29, 2023

TO: MIAX Exchange Members

FROM: MIAX Regulatory Department

RE: FINRA Notice of Approval To Amend the Codes of Arbitration Procedure Governing the Arbitrator List-Selection Process and Procedural Rules

FINRA has received approval to amend the Code of Arbitration Procedure for Customer Disputes and Industry Disputes to make changes relating to the arbitrator list selection process, in response to recommendations of independent counsel Lowenstein Sandler LLP. The approved rule change also makes clarifying and technical changes for holding prehearing conferences and hearing sessions, initiating and responding to claims, motion practice, claim and case dismissals, and providing a hearing record.

For more information on the approved rule change, see [2023-19729.pdf \(govinfo.gov\)](#).

MIAX Exchanges are required by rule to inform Members of rule changes to FINRA's arbitration rules published by the Securities and Exchange Commission.

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