

MIAX Options Exchange Regulatory Circular 2024-66
MIAX Pearl Options Exchange Regulatory Circular 2024-63
MIAX Emerald Options Exchange Regulatory Circular 2024-65
MIAX Pearl Equities Exchange Regulatory Circular 2024-15
MIAX Sapphire Options Exchange Regulatory Circular 2024-73

DATE: November 14, 2024

TO: MIAX Exchange Members

FROM: MIAX Regulatory Department

RE: Approved Rule Change to Amend FINRA Rule 13606 (Record of Proceedings) to Provide Customers Access to a Copy of the Official Record of an Expungement Hearing

FINRA has amended Rule 13606 to have FINRA Dispute Resolution Services provide an official record copy of a Rule 13805 expungement hearing, and any transcription, to requesting customers who attend and participate in the expungement hearing, or who provide their written position on the expungement request.

The SEC has approved these changes.

For more information, see [SEC Release 34-101561](#).

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

Direct Regulatory inquiries to Regulatory@miaxglobal.com or (609) 897-7309.