



MIAX Regulatory Circular
2015-28

DATE: June 3, 2015
TO: MIAX Members
FROM: MIAX Regulatory Department
SUBJECT: Rule Change Notice—FINRA Arbitration Rules

The Financial Industry Regulatory Authority, Inc. (FINRA) has amended Rules 12214 and 12601 of its Code of Arbitration Procedure for Customer Disputes and Rules 12214 and 12601 of its Code of Arbitration Procedure for Industry Disputes. The approval for the rule changes can be found at the following location: <http://www.gpo.gov/fdsys/pkg/FR-2015-05-29/pdf/2015-12971.pdf>.

MIAX Rule 1107 incorporates by reference the rules of FINRA relating to arbitration of disputes. In accordance with the incorporation by reference of FINRA's arbitration rules, MIAX 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.