



MIAX Regulatory Circular
2016-33

DATE: August 31, 2016
TO: MIAX Members
FROM: MIAX Regulatory Department
SUBJECT: Rule Change Notice—FINRA Arbitration Rules

The Financial Industry Regulatory Authority, Inc. (FINRA) has filed to amend the Code of Arbitration Procedure for Customer Disputes and the Code of Arbitration Procedure for Industry Disputes to require all parties, except customers who are not represented by an attorney or other person (“*pro se* customers”), to use the FINRA Office of Dispute Resolution’s Party Portal (“Party Portal”) to file initial statements of claim and to file and serve pleadings and other documents on FINRA or any other party. The Federal Register Notice for this proposed rule change can be found at the following location:

<https://www.gpo.gov/fdsys/pkg/FR-2016-08-17/pdf/2016-19580.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.