

MIAX Options Exchange Regulatory Circular 2023-20
MIAX Pearl Options Exchange Regulatory Circular 2023-17
MIAX Emerald Options Exchange Regulatory Circular 2023-18
MIAX Pearl Equities Exchange Regulatory Circular 2023-08

DATE: April 20, 2023

TO: MIAX Exchange Members

FROM: MIAX Regulatory Department

RE: FINRA Notice of Filing of Amendment No. 2 and Order Granting Accelerated Approval of a Proposed Rule Change to Amend the Codes of Arbitration Procedure to Modify the Current Process Relating to the Expungement of Customer Dispute Information

The Financial Industry Regulatory Authority, Inc. (“FINRA”) filed with the Securities and Exchange Commission (“SEC”) a proposed rule change to amend the FINRA Rule 12000 Series (Code of Arbitration Procedure for Customer Disputes) and the FINRA Rule 13000 Series (Code of Arbitration Procedure for Industry Disputes) to modify the current process relating to the expungement of customer dispute information.

The proposed rule change, as modified by Amendments Nos. 1 and 2, was approved on an accelerated basis by the SEC.

For more information on the proposed rule change, see [2023-08147.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@MIAXOptions.com or (609) 897-7309.