

MIAX Pearl Equities Exchange Regulatory Circular 2020-15

DATE: December 17, 2020

TO: MIAX Pearl Equities Members

FROM: MIAX Exchange Regulatory Department

RE: Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Amend FINRA Rules To Reflect Name Changes to Two FINRA Departments: The Office of Dispute Resolution and the Department of Registration and Disclosure

The Financial Industry Regulatory Authority, Inc. (“FINRA”) has received approval from the Securities and Exchange Commission to amend FINRA rules to reflect name changes to two FINRA departments: (1) The Office of Dispute Resolution and (2) the Department of Registration and Disclosure.

The Federal Register Notice for this approved rule change can be found at <https://www.govinfo.gov/content/pkg/FR-2020-11-10/pdf/2020-24889.pdf>.

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.