



DATE: February 13, 2019

TO: MIAX Exchange Members

FROM: MIAX Exchange Regulatory Department

RE: FINRA Arbitration Rule Change Notice: Proposed Rule Change to Expand Time for Non-Parties to Respond to Arbitration Subpoenas and Orders of Appearance of Witnesses or Production of Documents

FINRA is proposing to amend FINRA Rule 12512(d) through (e) and FINRA Rule 12513(d) through (e) of the Code of Arbitration Procedure for Customer Disputes and FINRA Rule 13512(d) through (e) and FINRA Rule 13513(d) through (e) of the Code of Arbitration Procedure for Industry Disputes to expand time for non-parties to respond to arbitration subpoenas and orders of appearance of witnesses or production of documents, and to make related changes to enhance the discovery process for forum users.

The Federal Register Notice for this proposed rule change can be found at the following location:
<https://www.govinfo.gov/content/pkg/FR-2019-02-12/pdf/2019-01946.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.