



DATE: October 6, 2020

TO: MIAX Exchange Members

FROM: MIAX Exchange Regulatory Department

RE: Proposed Rule Change to Amend the Code of Arbitration Procedure for Customer Disputes and the Code of Arbitration Procedure for Industry Disputes to modify the current process relating to the expungement of customer dispute information.

FINRA is proposing to amend the Code of Arbitration Procedure for Customer Disputes and the Code of Arbitration Procedure for Industry Disputes to modify the current process relating to the expungement of customer dispute information.

The Federal Register Notice for this proposed rule change can be found at <https://www.govinfo.gov/content/pkg/FR-2020-10-01/pdf/2020-21660.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.