

MIAX Options Exchange Regulatory Circular 2024-51
MIAX Pearl Options Exchange Regulatory Circular 2024-48
MIAX Emerald Options Exchange Regulatory Circular 2024-51
MIAX Pearl Equities Exchange Regulatory Circular 2024-13
MIAX Sapphire Options Exchange Regulatory Circular 2024-39

DATE: August 30, 2024

TO: MIAX Exchange Members

FROM: MIAX Regulatory Department

RE: Proposed Rule Change to Amend FINRA Rule 12800 (Simplified Arbitration) to Clarify and Amend the Applicability of the Document Production Lists

FINRA previously filed a proposed rule change to amend FINRA Rule 12800(g)(1) permitting customers in paper cases and special proceedings to have Document Production Lists apply to all parties.

FINRA has since filed new amendments. Proposed Rule 12800(g)(1)(A) would provide that Document Production Lists apply to arbitrations in which the customer requests an Option One hearing. Also, proposed Rule 12800(g)(1)(B) would provide that such would not apply to arbitrations in which the customer requests no hearing or an Option Two special proceeding, unless the customer requests that the Document Production Lists apply to all parties.

The SEC has issued an Order Instituting Proceedings to determine whether to approve or disapprove these proposed changes.

For more information, see [SEC Release 34-100787](#) and SR-FINRA-2024-008-Partial-A-1.

MIAX Exchanges are required by rule to inform Members of rule changes to FINRA's arbitration rules published by the Securities and Exchange Commission.

Direct Regulatory inquiries to Regulatory@miaxglobal.com or (609) 897-7309.