

MIAX Options Exchange Regulatory Circular 2024-28
MIAX Pearl Options Exchange Regulatory Circular 2024-27
MIAX Emerald Options Exchange Regulatory Circular 2024-28
MIAX Pearl Equities Exchange Regulatory Circular 2024-08

DATE: May 3, 2024

TO: MIAX Exchange Members

FROM: MIAX Regulatory Department

RE: Retirement of the FINRA Rule 10000 Series (Code of Arbitration Procedure) that governs arbitration and mediation claims filed prior to April 16, 2007

The FINRA Rule 10000 Series (“old Code”) applies to arbitration and mediation claims filed in the FINRA Dispute Resolution Services (“DRS”) forum prior to April 16, 2007. All mediation and arbitration claims that were filed in the DRS forum prior to April 16, 2007, and governed by the old Code, have closed. Thus, the old Code is no longer applicable to any mediation or arbitration claims filed in the DRS forum.

For more information on the proposed rule change, see [2024-08688.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@miaxglobal.com or (609) 897-7309.