



REGULATORY INFORMATION CIRCULAR

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Subject: Rule Change Notice – Changes to FINRA Arbitration Rules

Exchange Rule 1800, which incorporates International Securities Exchange Rule 1800 by reference, states, in part, that Financial Industry Regulatory Authority, Inc.'s ("FINRA") Code of Arbitration shall govern ISE Gemini arbitrations. The purpose of this Regulatory Information Circular is to inform Members of an approved rule change by the Securities and Exchange Commission ("SEC") to the FINRA Code of Arbitration, attached.

In the September 20, 2013 *Federal Register*, the SEC published the approval of a proposed rule change (SR-FINRA-2013-0024) relating to amendments to the FINRA discovery guide ("Guide") used in customer arbitration proceedings.¹ This approval allows FINRA to amend the Guide to provide general guidance on electronic discovery issues and product cases and to clarify the existing provision relating to affirmations made when a party does not produce documents specified in the Guide.

¹ Exchange Act Release No. 34-70419 (September 16, 2013)
<http://www.gpo.gov/fdsys/pkg/FR-2013-09-20/pdf/2013-22883.pdf>