SEcurities and exchange commission


Self-Regulatory organizations; BAts exchange, inc.; notice of filing of a proposed rule change to amend rules 11.9, 11.12, and 11.13 of BAts exchange, inc.; correction

February 26, 2015.

I. Introduction

On June 17, 2014, the Financial Industry Regulatory Authority, Inc. ("FINRA") filed with the Securities and Exchange Commission ("SEC" or "Commission") pursuant to section 19(b)(1) of the Securities Exchange Act of 1934 ("Act") and Rule 19b–4 thereunder, 2 a proposed rule change to amend FINRA Rule 12100(p) of the Code of Arbitration Procedure for Customer Disputes ("Customer Code") and FINRA Rule 13100(p) of the Code of Arbitration Procedure for Industry Disputes ("Industry Code") (collectively, "Codes"). The proposal, which is open for comment until October 1, 2014, 3 is described below.

Correction


Jill M. Peterson, Assistant Secretary.

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SECURITIES AND EXCHANGE COMMISSION


Self-Regulatory Organizations; Financial Industry Regulatory Authority, Inc.; Order Approving a Proposed Rule Change Relating to Revisions to the Definitions of Non-Public Arbitrator and Public Arbitrator

February 26, 2015.

I. Introduction

On June 17, 2014, the Financial Industry Regulatory Authority, Inc. ("FINRA") filed with the Securities and Exchange Commission ("SEC" or "Commission") pursuant to section 19(b)(1) of the Securities Exchange Act of 1934 ("Act") 1 and Rule 19b–4 thereunder, 2 a proposed rule change to amend FINRA Rule 12100(p) of the Code of Arbitration Procedure for Customer Disputes ("Customer Code") and FINRA Rule 13100(u) of the Code of Arbitration Procedure for Industry Disputes ("Industry Code") (collectively, "Codes"); defining the term "non-public arbitrator;" and FINRA Rule 12100(u) of the Customer Code and Rule 13100(u) of the Industry Code, defining the term "public arbitrator." The proposed rule change was published for comment in the Federal Register on July 3, 2014. 4 On August 4, 2014, FINRA extended the time period in which the Commission must approve the proposed rule change, disapprove the proposed rule change, or institute proceedings to determine whether to approve or disapprove the proposed rule change to October 1, 2014. The Commission received three hundred sixteen (316) comment letters in response to the Notice of Filing. 4 On

5 The Commission discussed these comments in the Proceedings Order. See infra note 7.
6 Letter from Margo A. Hassan, Assistant Chief Counsel, FINRA Dispute Resolution, to Brent J. Fields, Secretary, SEC, dated September 30, 2014 ("FINRA September Letter"). The FINRA September Letter is available at www.sec.gov.