



# **Investors Exchange Regulatory Information Circular 2018 – 0003**

**Date:** March 5, 2018

**To:** Members of Investors Exchange LLC

**Re:** Anti-Money Laundering Compliance Program and Customer Due Diligence Requirements

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## **Customer Due Diligence Requirements**

Please note, the Financial Crimes Enforcement Network (FinCEN) adopted a final rule on Customer Due Diligence Requirements for Financial Institutions (CDD Rule), which became effective July 11, 2016. Members to whom the rule applies must be in compliance with the provisions of the CDD Rule by May 11, 2018. See the following for more information: [FINRA Regulatory Notice 17-40; 81 FR 29397 \(May 11, 2016\)](#); and [82 FR 45182 \(September 28, 2017\)](#).

## **AML Compliance Program Reminder**

As a reminder, in accordance with IEX Rule 5.160, *Anti-Money Laundering Compliance Program*, each Member shall develop and implement a written anti-money laundering program reasonably designed to achieve and monitor compliance with the requirements of the Bank Secrecy Act, and the implementing regulations promulgated thereunder by the Department of Treasury. Please refer to IEX Rule 5.160 for additional information on AML program requirements.

## **Further Information**

Please contact IEX Regulation at [regulation@iextrading.com](mailto:regulation@iextrading.com) or 646-343-2042 with any questions regarding this Regulatory Circular.