



Investors Exchange Regulatory Information Circular 2020 - 0001

Date: January 7, 2020

To: Members of Investors Exchange LLC

Subject: Notice Regarding Filing of Annual Audited Reports

Overview

This Regulatory Circular is being issued to remind Investors Exchange LLC (“IEX”) Members of their obligation under Rule 17a-5(d) under the Securities Exchange Act of 1934 (“Exchange Act”) to file annual reports with all self-regulatory organizations to which such Members belong. Exchange Act Rule 17a-5(d)(6) states:

The annual audit report must be filed at the regional office of the Commission for the region in which the broker or dealer has its principal place of business, the Commission’s principal office in Washington, DC, the principal office of the designated examining authority for the broker or dealer, and with the Securities Investor Protection Corporation (“SIPC”) if the broker or dealer is a member of SIPC. Copies of the reports must be provided to all self-regulatory organizations of which the broker or dealer is a member, unless the self-regulatory organization by rule waives this requirement.

All IEX Members are required to submit their annual audit reports to IEX in electronic form via FINRA’s Firm Gateway, regardless of which self-regulatory organization is the Member’s Designated Examining Authority. Members will use their current FINRA entitlement user ID and password to access the Firm Gateway and submit their annual audit reports.

FINRA Gateway and Entitlements

Questions regarding access to the Firm Gateway should be directed to the Member’s Super Account Administrator (“SAA”). Questions regarding the filing of reports, the resetting of passwords or general technical concerns regarding system requirements should be directed to the Gateway Call Center at 301-869-6699.

Annual Audit Report

Annual audit reports must be filed not more than sixty (60) calendar days after the Member’s fiscal year end pursuant to Exchange Act Rule 17a-5(d)(5). Additional information regarding 2020 and first quarter of 2021 report filing due dates may be found [here](#).

Further Information

Please contact IEX Regulation at regulation@iextrading.com with any questions regarding this Regulatory Circular.