



BZX Regulatory Circular 15-001
BYX Regulatory Circular 15-001

EDGA Regulatory Circular 15-001
EDGX Regulatory Circular 15-001

Date: February 5, 2015

To: Members of BATS Exchange, Inc., BATS Y-Exchange, Inc., EDGA Exchange, Inc. and/or EDGX Exchange, Inc.

From: Membership Services

Re: Notice Regarding Filing of Annual Audited Reports

The purpose of this Regulatory Circular is to remind Members of their obligation under SEC Rule 17a-5(d) to provide copies of annual audit reports with all self-regulatory organizations to which such Members belong. SEC 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** [emphasis added].

BATS Exchange, Inc., BATS Y-Exchange, Inc., EDGA Exchange, Inc. and EDGX Exchange, Inc. (each referred to hereafter as "BATS" or the "Exchange") have not waived this requirement. Accordingly, BATS Members are required to provide copies of their annual audit reports to the Exchange. Such copies can be sent to BATS for processing via fax to 913.815.7119, email to membershipservices@bats.com, or certified or first class mail to:

c/o BATS Exchange, Inc.
Attn: Membership Services
8050 Marshall Drive, Suite 120
Lenexa, KS 66214

If you have any questions in connection with this Circular, please contact Membership Services at 913.815.7002.