



**BZX Regulatory Circular 16-001**  
**BYX Regulatory Circular 16-001**  
**EDGA Regulatory Circular 16-001**  
**EDGX Regulatory Circular 16-001**

Date: January 27, 2016

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

From: Membership Services

Re: **Notice Regarding Filing of Annual Audited Reports**

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BATS Exchange, Inc. ("BZX"), BATS Y-Exchange, Inc. ("BYX"), EDGA Exchange, Inc. ("EDGA") and EDGX Exchange, Inc. ("EDGX") (each an "Exchange") would like to remind its Members of their obligation under SEC Rule 17a-5(d) to file 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].

The Exchange has not waived this requirement. However, the manner in which Members of the Exchange are required to provide copies of their annual audit reports to the Exchange has been modified.

Members are now required to submit their annual audit reports in electronic form via FINRA's Firm Gateway. This is a change from the current requirement to submit annual audit reports directly to the Exchange and is effective for annual audit reports covering a fiscal year ending on or after December 31, 2015.<sup>1</sup>

Members will use their current FINRA entitlement user ID and password to access the Firm Gateway and submit their annual audit reports. If additional entitlement support is needed, FINRA will assist Members in obtaining the appropriate entitlements. Questions related to the Firm Gateway may be directed to the FINRA Gateway Call Center at 301.869.6699.

If you have any questions regarding the content of this Circular, please contact Membership Services at 913.815.7002.

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<sup>1</sup> Members whose Designated Examining Authority is the Chicago Stock Exchange (CHX) are still required to submit a copy of their annual audit report directly to the Exchange.