



BZX Regulatory Circular 17-001
BYX Regulatory Circular 17-001
EDGA Regulatory Circular 17-001
EDGX Regulatory Circular 17-001

Date: February 1, 2017

To: Members of Bats BZX Exchange, Inc., Bats BYX Exchange, Inc., Bats EDGA Exchange, Inc. and Bats EDGX Exchange, Inc.

From: Membership Services

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

Bats BZX Exchange, Inc. ("BZX"), Bats BYX Exchange, Inc. ("BYX"), Bats EDGA Exchange, Inc. ("EDGA") and Bats 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 and Members are reminded to submit their annual audit reports in electronic form via FINRA's Firm Gateway.¹

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.

¹ *Members whose Designated Examining Authority is the Chicago Stock Exchange (CHX) are no longer required to submit a copy of their annual audit report directly to the Exchange.*