

CBOE Regulatory Circular RG17-024
C2 Regulatory Circular RG17-010

Date: February 15, 2017
To: CBOE and C2 Trading Permit Holders
From: Regulatory Division
RE: Electronic Filing of Annual Audits

Trading Permit Holders (“TPHs”) required to file an annual audit pursuant to SEC Rule 17a-5 and CBOE/C2 Rule 15.6, *Audits*, must submit such annual audit via the FINRA Firm Gateway electronic filing system. The filing of annual audits via the FINRA Firm Gateway electronic filing system will satisfy the filing requirement with CBOE/C2. Please do not separately file the annual audit with CBOE/C2.

In connection with the regulatory services agreement between CBOE and C2 and FINRA, and as previously announced, the filing of various regulatory filings transitioned to the electronic filing platform available via FINRA’s Firm Gateway.¹ FINRA’s Firm Gateway (<https://firms.finra.org>) is a portal that provides consolidated access to various FINRA regulatory systems.

As a reminder, annual audit reports must be filed not more than sixty (60) calendar days after the end of the fiscal year of the TPH. For TPHs with a fiscal year that ended December 31, 2016, the due date is March 1, 2017.

Additional Information:

FINRA Firm Gateway technical questions may be directed to FINRA’s technical support Group at (301) 869-6699. Further questions may be directed to the CBOE/C2 Regulatory Interpretations team at (312) 786-8141.

¹ See CBOE Regulatory Circular RG 15-084 and C2 Regulatory Circular RG-15-023 issued May 26, 2015.