

Regulatory Circular RG16-022

Date: January 29, 2016

To: Trading Permit Holders
From: Regulatory Division
RE: Electronic Filing of Annual Audits

As announced in CBOE in Regulatory Circular RG15-191, TPHs required to file an annual audit pursuant to SEC Rule 17a-5 and CBOE 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. Therefore, if an annual audit is filed with the FINRA Firm Gateway electronic filing system, it is not necessary to separately file the annual audit with CBOE.

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.

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 Regulatory Interpretations and Guidance line at (312) 786-8141.

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