

Regulatory Circular RG95-59

Date: July 12, 1995

To: The Membership

From: Nancy Weber - SIPC Coordinator

Re: SIPC Mid-Year Filing

All SIPC (Securities Investor Protection Corp.) members should have received a 1995 mid-year filing form (SIPC-6) from SIPC's Washington D.C. office. As a reminder, any individual or organization registered as a broker/dealer is a SIPC member. Responsibilities of being a SIPC member include filing proper forms and paying all assessments, whether or not any revenue is derived from the securities industry.

Form SIPC-6 is required to be filed by July 30, 1995. Included with your SIPC-6 submission should be a check made payable to SIPC in the amount of .00073% of SIPC Net Operating Revenue for the period January 1, 1995 through June 30, 1995, but not less than a \$150 minimum fee.

All SIPC members must file on a calendar year basis, unless they are subject to an audit requirement under SEC Rule 17a-5, in which case a different due date would apply.

Please call me at (312) 786-7038 if you have any questions or need additional forms.