

# Investors Exchange Regulatory Information Circular 2026 - 0001

**Date:** January 5, 2026

**To:** Members of Investors Exchange LLC

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

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## **Overview**

This Regulatory Circular is being issued to remind Investors Exchange LLC ("IEX") Members of their obligation under Rule 17a-5(d) under the Securities Exchange Act of 1934 ("Exchange Act") to file annual reports with all self-regulatory organizations to which such Members belong. Exchange Act Rule 17a-5(d)(6)(ii) states:

The annual reports must be filed with 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.

All IEX Members are required to submit their annual reports to IEX in electronic form via FINRA's Firm Gateway, regardless of which self-regulatory organization is the Member's Designated Examining Authority. Members will use their current FINRA entitlement user ID and password to access the Firm Gateway and submit their annual reports. More information on electronic submission of annual reports can be found [here](#).

## **FINRA Gateway and Entitlements**

Members must use their current FINRA entitlement user ID and password to access the Firm Gateway. Questions regarding access to the Firm Gateway should be directed to your firm's Super Account Administrator (SAA). Questions regarding the filing of reports, the resetting of passwords or general technical concerns regarding system requirements should be directed to FINRA Business and Technology Support Services at (800) 321-6273.

## **Annual Reports**

Annual reports must be filed not more than sixty (60) calendar days after the Member's fiscal year end pursuant to Exchange Act Rule 17a-5(d)(5). Additional information regarding 2026 and first quarter of 2027 report filing due dates may be found [here](#). More information on FINRA's extension of time request policy may be found [here](#).

## **Further Information**

Please contact IEX Regulation at [regulation@iextrading.com](mailto:regulation@iextrading.com) with any questions regarding this Regulatory Circular.