

# Investors Exchange Regulatory Information Circular 2024 - 0004

**Date:** April 17, 2024

**To:** Members of Investors Exchange LLC

**Re:** Enhancements to FINRA Firm Gateway and Regulatory Notifications

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## Overview

This Regulatory Circular is being issued to notify Investors Exchange LLC ("IEX") Members of changes to the Regulatory Notifications application in FINRA's Firm Gateway, beginning on April 27, 2024.

Pursuant to IEX Rules, Members are required to notify IEX and the U.S. Securities and Exchange Commission ("SEC") based on certain financial and operational obligations. Members are required to submit these reports to IEX in electronic form via FINRA's Firm Gateway, regardless of which self-regulatory organization is the Member's Designated Examining Authority. For guidance related to submitting required notifications to the SEC, firms should visit the [SEC's website](#) or contact the SEC.

As part of the enhancements to the Regulatory Notifications application, FINRA has updated thirteen existing Regulatory Notification forms, added two new forms due to an amendment to FINRA Rule 4210, centralized them in FINRA Gateway and created a new streamlined and intuitive data entry process. Member firms may begin using the new forms on April 27, 2024. Please see FINRA [Regulatory Notifications](#) for additional information on the changes. Please note that any draft filings remaining in the system will be deleted on April 26, 2024, at 8:00 pm ET.

## FINRA Gateway and Entitlements

Members must use their current FINRA entitlement user ID and password to access the Regulatory Notifications application in the FINRA Gateway. Questions regarding access to the Firm Gateway should be directed to your firm's Super Account Administrator (SAA). If you have problems using the Regulatory Notifications application, please contact the FINRA Support Center at (800) 321-6273.

## Further Information

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