



DATE: September 27, 2016
TO: MIAX Members
FROM: MIAX Regulatory Department
RE: Electronic Filing of Annual Reports

The Exchange has received approval from the Securities and Exchange Commission to amend Rules 803, Audits; and 1308, Supervision of Accounts, to mandate that required reports are to be filed electronically (See [SR-MIAX-2016-29](#)). The rule filing became effective on September 11, 2016.

In connection with the Regulatory Services Agreement between the Exchange and FINRA, the filing of various annual reports has been transitioned to the electronic filing platform available via FINRA's Firm Gateway. FINRA's Firm Gateway (<https://firms.finra.org>) is a portal that provides consolidated access to various FINRA regulatory systems.

The purpose of this circular is to announce that the Exchange will begin requiring annual reports to be submitted electronically via the FINRA Firm Gateway effective October 1, 2016.

Please continue to send all other regulatory filings via the current method. A notification will be provided if there is any change to these filing methods.

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 Exchange's Regulatory Department at Regulatory@MIAXOptions.com or (609) 897-7309.