



SECURITIES INVESTOR PROTECTION CORPORATION  
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WWW.SIPC.ORG

August 1, 2017

**TO: Securities Investor Protection Corporation (SIPC) Members**

**RE: Change in Filing Method for Annual Reports Filed with SIPC Effective September 1, 2017**

**IMPORTANT NOTICE**

Since 2014, all members of SIPC that are required to file Annual Reports with the Securities and Exchange Commission (SEC) and their Designated Examining Authority (DEA) pursuant to SEC Rule 17a-5(d)(1), 17 C.F.R. § 240.17a-5(d)(1), have been required to file their Annual Reports with SIPC.

**EFFECTIVE SEPTEMBER 1, 2017, SIPC IS SIMPLIFYING THE WAY THESE ANNUAL REPORTS ARE FILED WITH SIPC.** This change is intended to ease regulatory burdens and compliance costs for member firms.

Through an arrangement with FINRA, all members that file Annual Reports with their DEA through the FINRA Firm Gateway on and after September 1, 2017, will use the FINRA Firm Gateway to also file their Annual Reports with SIPC. SIPC will no longer accept Annual Reports by any other means. After September 1, 2017 SIPC will deem any Annual Report received other than through the FINRA Firm Gateway as not having been filed with SIPC.

When an Annual Report is filed by a member through the FINRA Firm Gateway, this will also constitute filing with SIPC. When filing through the FINRA Firm Gateway the FINRA site will indicate:

*By submitting this report, [the firm] acknowledges that the filing of its Annual Report with FINRA (initial and amendments) also constitutes filing of the Annual Report with SIPC pursuant to SEC Rule 17a-5 if the firm is also a SIPC member*

### **Frequently Asked Questions (FAQs)**

Q. When I file my Annual Report with FINRA what do I need to do to file it with SIPC?

A. Nothing additional.

Q. If a DEA requires that I supplement or amend my filing what do I need to provide to SIPC?

A. Nothing additional. A supplemented or amended Annual Report requested by the DEA and filed through the FINRA Firm Gateway will be provided to SIPC.

Q. Does this filing change the date by which the Annual Report is required to be filed with SIPC?

A. No. Annual Reports are due sixty calendar days after the end of the member's fiscal year. This change only affects the manner in which the filing is made with SIPC on and after September 1, 2017.

Q. I am exempt from the Annual Report filing requirement with my DEA. Do I need to do anything with SIPC?

A. Yes. Please email SIPC at [annualreportsinquiries@sipc.org](mailto:annualreportsinquiries@sipc.org) no later than sixty calendar days after the end of your fiscal year and report that you are exempt from the Annual Report filing requirement. Please include a copy of any correspondence from your DEA supporting your exemption. Please notify SIPC each year that you are exempt from the Annual Report filing requirement.

Q. I contacted SIPC last year to let SIPC know I was exempt from the Annual Report filing requirement. Do I need to do anything with SIPC this year?

A. Yes. Please notify SIPC at [annualreportsinquiries@sipc.org](mailto:annualreportsinquiries@sipc.org) each year no later than sixty calendar days after the end of your fiscal year that you are exempt from the Annual Report filing requirement.

Q. I received a filing extension from my DEA. Do I need to do anything with SIPC?

A. No. If you received a filing extension from your DEA, that extension also applies to your filing deadline with SIPC. Nothing additional needs to be done.

Q. Can I use the FINRA Firm Gateway before September 1, 2017 to meet my Annual Report filing requirement with SIPC?

A. No. Only filings made on and after September 1, 2017 through the FINRA Firm Gateway will satisfy the SIPC Annual Report filing requirement.

Q. I filed the Annual Report with my DEA though the FINRA Firm Gateway before September 1, 2017 but did not file the Annual Report with SIPC by September 1. What do I do?

A. If you filed the report with your DEA though the FINRA Firm Gateway but did not file with SIPC, please contact SIPC at [annualreportsinquiries@sipc.org](mailto:annualreportsinquiries@sipc.org) or 202 371-8300. SIPC will instruct you on how to file your Annual Report with SIPC.

Q. My Annual Report filing with my DEA (and SIPC) was due prior to September 1, 2017 but I did not file through the FINRA Firm Gateway by that date. What do I need to do to meet my SIPC Annual Report filing requirement?

A. When you file your Annual Report through the FINRA Firm Gateway on or after September 1, 2017 you will meet your filing requirement with SIPC.

Q. I have other questions on this filing requirement. Whom should I contact?

A. Please contact SIPC at [annualreportsinquiries@sipc.org](mailto:annualreportsinquiries@sipc.org) or 202 371-8300.

Q. If I have trouble using the FINRA Firm Gateway for the filing of the Annual Report should I contact SIPC?

A. No. All problems using the FINRA Firm Gateway should be addressed with FINRA. Please contact the Gateway Call Center at 301 869-6699.

Q. Can I use the FINRA Firm Gateway to file the Agreed-Upon Procedures (AUP) Report with SIPC?

A. No. The AUP Report must be filed directly with SIPC either by mail or by email at [form@sipc.org](mailto:form@sipc.org) even if this report was included with the filing made through the FINRA Firm Gateway.

Q. Can I use the FINRA Firm Gateway to file my SIPC 6, 7 or 7B?

A. No. These forms must be filed directly with SIPC either by mail (P.O. Box 92185 Washington, DC 20090-2185) or by email at [form@sipc.org](mailto:form@sipc.org).