



Dear SIPC Members:

[SEC Release No. 34-91128](#), issued February 12, 2021, extends the deadline for certain smaller broker-dealers to file their annual reports by 30 calendar days, provided that the broker-dealer:

1. As of its most recent fiscal year end:
 - a. was in compliance with Rule 15c3-1; and
 - b. had total capital and allowable subordinated liabilities of less than \$50 million, as reported in box 3530 of Part II or Part IIA of its FOCUS Report;
2. Is permitted to file an exemption report as part of its most recent fiscal year end annual reports;
3. Submits written notification to its designated examining authority of its intent to rely on this order on an ongoing basis for as long as it meets the conditions of the order; and
4. Files the annual report electronically with the Commission using an appropriate process.

SIPC hereby grants a 30-calendar day extension to this deadline to broker-dealers covered by SEC Release No. 34-91128 for the filing with SIPC of Annual Reports and the Independent Accountants' Report on Applying Agreed-Upon Procedures ("AUP"), provided the member notifies SIPC in writing that it is relying on the Commission's order, and submits to SIPC a copy of the written notification provided to its designated examining authority.

Please note that this extension does not apply to SIPC assessment forms. The SIPC-7 assessment form and any payment owed are still due 60 days after the fiscal year end, consistent with SIPC's [assessment bylaw](#).

Please contact the SIPC Membership Department at 202-371-8300 or form@sipc.org with any questions.

Sincerely,

Securities Investor
Protection
Corporation