



## Regulatory Notice 21-01

**DATE:** January 20, 2021

**TO:** All Members of MEMX LLC

**FROM:** MEMX Regulation

**SUBJECT:** CRD Registration Reminder for MEMX LLC

As a reminder to all Members of MEMX LLC (“MEMX or the “Exchange”), registration with MEMX is available on FINRA’s Central Registration Depository (“CRD”) for both Form BD and Form U4 applicants.

Members of the Exchange are required to register with the Exchange on their Firm’s Form BD as well as register individuals according to the Exchange’s Rulebook, including but not limited to:

- (i) associated persons and designated principals pursuant to Interpretation and Policies .01 and .03 to MEMX Rule 2.5;
- (ii) executive officers, directors, principal shareholders, and general partners pursuant to MEMX Rule 2.6(g);
- (iii) Authorized Traders pursuant to MEMX Rule 11.4; and
- (iv) for Registered Market Makers, Market Maker Authorized Traders pursuant to MEMX Rule 11.18(b).

Please reference the [MEMX Rulebook](#) for additional information.

### Additional Information

- For questions or inquiries regarding regulatory matters, contact: [regulation@memx.com](mailto:regulation@memx.com)
- To submit a tip or complaint related to a potential violation of MEMX rules, send an email to: [tipsandcomplaints@memx.com](mailto:tipsandcomplaints@memx.com)
- For MEMX rule interpretations, send an email to: [reginterps@memx.com](mailto:reginterps@memx.com)