



Investors Exchange Regulatory Information Circular 2019 - 0003

Date: January 10, 2019
To: Members of Investors Exchange LLC
Subject: Active Military Leave Guidance

Overview

The Investors Exchange LLC ("IEX") provides registration and licensing relief to registered persons and certain formerly registered persons of IEX Members who volunteer or are called into active military duty. Commentary .02 to IEX Rule 2.160(e), specifies that impacted registered persons and Members should notify IEX regarding active and inactive status as specified therein.

Please see Commentary .02 to IEX Rule 2.160(e) for additional information.

Notification Requirements

Members can satisfy their IEX notification requirement by submitting required documentation to the Financial Industry Regulator Authority ("FINRA") by facsimile, email or mail.

Once the necessary documentation is received, FINRA will:

- Contact the firm or individual (if he or she is not registered with a firm) to confirm receipt.
- Enter the individual's military service in Web CRD/IARD so self-regulatory organizations (e.g., IEX) and jurisdictions receive notice of the individual's service through the individual's record and reports.
- Monitor and adjust the individual's Continuing Education requirements based on the period of active military duty.

Comprehensive guidance related to notification requirements and necessary documentation is available on FINRA's [Active Military Leave Guidance](#) webpage.

Further Information

Please contact IEX Regulation at regulation@iextrading.com with any questions regarding this Regulatory Circular.