



Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC # 37-14) 10/17/2014

Quotation and Trading Halt for all OTC Equity Securities

On Friday, October 17, 2014, the Financial Industry Regulatory Authority, Inc. ("FINRA") halted trading in all OTC Equity Securities pursuant to FINRA Rule 6440(a)(3). FINRA determined to impose a temporary halt because of a lack of current quotation information. Therefore, FINRA has determined that halting quoting and trading in all OTC Equity Securities is appropriate to protect investors and ensure a fair and orderly marketplace. The trading and quotation halt began on Friday, October 17, 2014, at 11:05:06 a.m. E.T. FINRA will notify the market when trading may resume.

Questions regarding this notice can be directed to: FINRA Operations at (866) 776-0800.