



Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC # 39-14) 10/17/2014

Clearly Erroneous Determination for Quotation and Trading Halt for OTC Equity Securities

FINRA is invoking its clearly erroneous trade break authority under FINRA Rule 11893 to break all trades in OTC Equity Securities on October, 17, 2014, after 11:05:06 a.m. ET up and until the resumption of permitted trading at 1:00:00 p.m. ET for all OTC Equity Securities. FINRA member firms are instructed to cancel all related trades executed during that time period that were reported to FINRA's OTC Reporting Facility (ORF). In making this determination, FINRA has also determined that the number of the affected transactions is such that immediate finality is necessary to maintain a fair and orderly market and to protect investors and the public interest. Consequently, these determinations may not be appealed.