TRADE REPORTING NOTICE 1/20/2016: OTC EQUITY TRADING AND REPORTING IN THE EVENT OF SYSTEMS ISSUES

Widespread Systems Issue Flow Chart

Is the firm's primary FINRA facility experiencing a systems issue?  

YES >>>

NO

Continue executing OTC and report to the firm’s primary FINRA facility

NO

Has FINRA announced that firms should invoke their “Widespread Outage Procedures”?  

YES >>>

NO

Continue executing OTC and report to the firm’s primary FINRA facility once it is operational

MAY

Stop executing OTC until the firm’s primary FINRA facility is operational

MAY

Is the firm connected and able to report to a secondary FINRA facility?  

YES

Continue executing OTC and report to the firm’s secondary FINRA facility

Route to an exchange

NO

Route to a FINRA member(s) that is connected and able to report to a FINRA facility that is operational

NO

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