



**Regulation NMS Limit Up-Limit Down Plan
Request for Clearly Erroneous Review Due to Member's Bona Fide Technology or Systems Issue**

Please provide the following information in connection with your request for clearly erroneous review of a transaction(s) reported to a FINRA Facility at a price outside of the applicable price bands disseminated pursuant to the Limit Up-Limit Down Plan due to your firm's *bona fide* technology or systems issue.

Forward the completed form to FinraOperations@finra.org. Incomplete forms will not be processed.

Today's Date:

Member's MPID:

Name of Member Firm:

Certifying Officer's Name and Title:

Contact's Name and Title:

Contact's Telephone #:

Contact's Email Address:

Trade Date:

Security Symbol(s):

Total # of reported trades (identified separately per symbol):

FINRA Facility:

Time/time range of reported trade(s) identified separately per symbol:

Price/price range of reported trade(s) identified separately per symbol:

Start time of Technology or Systems Issue:

End time of Technology or Systems Issue (or state "Ongoing"):

By submitting this form, I certify, as required by FINRA Rule 11892, that the information provided above is accurate and that the transaction(s) described above: (1) occurred outside of the applicable price bands disseminated pursuant to the Limit Up-Limit Down Plan and (2) occurred at the above price(s) as a result of my firm's *bona fide* technology or systems issue. Documentation in support of the *bona fide* nature of the technology or systems issue will be provided to FINRA staff promptly upon request.

Certifying Officer's Signature:

Print Certifying Officer's Name: