


Title: What is this from TD? Anyone seen this yet?

Author: BasicAd4976


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Priority Messages

 02 Sep. 2021 ~ Important notice regarding U.S. Over-the-Counter (OTC) trading

Effective September 28, 2021, [amendments](#) to the U.S. Securities and Exchange Commission (SEC) Rule 15c2-11 will restrict the public quotation of certain Over-the-Counter (OTC) securities when current issuer information is not publicly available.

Most securities that will be affected by this measure are denoted as either "Pink-No Information" or "Grey Market" on [www.otcmarkets.com](http://www.otcmarkets.com).

The status of these securities can change as some companies may comply before or after the effective date. As a result, shareholders should assess their positions in U.S. OTC securities to identify any holdings that might be subject to this restriction. It is expected that the purchase and sale of these securities will become more challenging once the amendment takes effect.

Please note that TD Direct Investing relies on U.S. executing brokers to transact in certain U.S. OTC securities. In anticipation of this amendment, these brokers may restrict trading of impacted securities in advance of the effective date.

For more information, please refer to the [FAQ](#) on the OTC Markets website.

If you have questions or need assistance, please log into the TD App and choose [Contact Us](#) or call 1-800-465-5463 to speak to an Investment Representative.