



Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC #32-19) 9/26/2019
Argos Therapeutics Inc (ARGSQ)

Notice has been received that the above Company's Revised Second Amended Joint Liquidating became effective on 9/24/2019. Pursuant to the plan, Interests shall be cancelled, released and extinguished as of the Effective Date, and will be of no further force or effect, and holders of interests will not receive any distribution on account of such interests. Please consult the company's bankruptcy filings for thorough details.¹

Members are reminded of their obligations under FINRA Rule 2111 if they continue to engage in transactions in the above security after the effective date.

Pursuant to FINRA Rule 11530, members are advised that, among other things, in contracts for securities where a public announcement or publication of general circulation discloses that the securities have been deemed worthless, deliveries shall consist a) the worthless securities or; or b) a Letter of Indemnity which shall grant the purchaser any rights and privileges which might accrue to the holders of the physical securities. Such deliveries shall operate to close-out the contract and shall be settled at the existing contract price pursuant to FINRA Rule 11530.

Questions regarding this notice should be directed to: FINRA Operations- 1-866-776-0800.

¹ See e.g., *In re: Argos Therapeutics, Inc.* Debtor. Chapter 11 Case No. 18-12714 (LSS) First Amended Plan of Liquidation of Argos Therapeutics, Inc. Pursuant to Chapter 11 of the Bankruptcy Code.