



**Attn: Trading and Market Making / Legal and Compliance / Operations / Systems**  
**UNIFORM PRACTICE ADVISORY (UPC #02-20) 01/15/2020**  
**Fusion Connect, Inc. (FSNNQ)**

Notice has been received that the above Company's Third Amended Joint Chapter 11 Plan became effective on 01/14/2020. Pursuant to the plan, on the Effective Date, all Parent Equity Interests shall be deemed cancelled without further action by or order of the Bankruptcy Court, and shall be of no further force and effect, whether surrendered for cancellation or otherwise. Please consult the company's bankruptcy filings for thorough details.<sup>1</sup>

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.

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<sup>1</sup> See e.g., *In re: Fusion Connect, Inc., et al.*, Debtor. Chapter 11 Case No. 19-11811 (Jointly Administered) Third Amended Joint Chapter 11 Plan of Fusion Connect, Inc. and Its Subsidiary Debtors