



Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC #04-20) 02/24/2020
Insys Therapeutics Inc. (INSYQ)

Notice has been received that the above Company's Second Amended Joint Chapter 11 Plan of Liquidation became effective on 02/18/2020. Pursuant to the plan, On the Effective Date, Equity Interests shall be deemed surrendered, cancelled, and/or redeemed without further action by or order of the Bankruptcy Court, and shall be of no further force or effect. On or promptly after the effective date, the liquidation debtors and/or liquidating Trustee shall cause Insys Therapeutics, Inc to issue the Parent Equity Interest to the Insys Liquidation Trust solely for purposes of facilitating the orderly administration of the winding up and dissolution of the debtors.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: Insys Therapeutics, Inc., et al.*, Case No. 19-11292 (KG) (Jointly Administered) Second Amended Joint Chapter 11 Plan Of Liquidation Of Insys Therapeutics, Inc. and Its Affiliated Debtors.