



**Attn: Trading and Market Making/Legal and Compliance/Operations/Systems**  
**UNIFORM PRACTICE ADVISORY (UPC #07-20) 03/20/2020**  
**MabVax Therapeutics Holdings, Inc. (MBVXQ)**

Notice has been received that the above Company's Second Amended Combined Disclosure Statement and Joint Plan of Liquidation became effective on 03/20/2020. Pursuant to the plan, On the Effective Date, all Equity Interests shall be cancelled, and of no further force or effect. Each Holder of an Equity Interest shall neither receive nor retain any property or interest in property on account of such Equity Interests. Equity Interests shall be canceled and non-transferable from and after the Effective Date. See the Debtors Second Amended Combined Disclosure Statement and Joint Plan of Liquidation for further 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: MabVax Therapeutics Holdings, Inc., et al.*, Case No. 19-10603 (JTD) (Jointly Administered) Second Amended Combined Disclosure Statement and Joint Plan Of Liquidation for Debtors.