



**Attn: Trading and Market Making/Legal and Compliance/Operations/Systems  
UNIFORM PRACTICE ADVISORY (UPC #38-20) 10/05/2020 Akorn, Inc  
(AKRXQ)**

Notice has been received that the above Company's Modified Joint Chapter 11 Plan became effective on 10/01/2020. Pursuant to the plan, on the effective date, all Akorn Common Interests will be cancelled, released and extinguished, and will be of no further force or effect. See the Company's Modified Joint Chapter 11 Plan 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: Akorn, Inc. Debtor*. Chapter 11 Case No. 20-11177 (KBO) the Modified Joint Chapter 11 Plan of Akorn, Inc. and its Debtor Affiliates