



Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC #42-20) 11/02/2020
Stage Stores, Inc. (SSINQ)

Notice has been received that the above Company's Joint Second Amended Chapter 11 Plan became effective on 10/30/2020. Pursuant to the plan, On the Effective Date, Each Allowed Existing Interest shall be canceled, released, and extinguished, and will be of no further force or effect and no Holder of Existing Interests shall be entitled to any recovery or distribution under the Plan on account of such Interests. Please consult the Company's Amended Debtors' Joint Plan of Reorganization for further 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: Stage Stores, Inc., et al.*, Debtors. Chapter 11 Case No. 20-32564 (DRJ) (Jointly Administered) Joint Second Amended Chapter 11 Plan of Stage Stores, Inc. and Specialty Retailers, Inc.