



**Attn: Trading and Market Making/Legal and Compliance/Operations/Systems  
UNIFORM PRACTICE ADVISORY (UPC#03-21) 01/04/2020 RTW Retailwinds,  
Inc. (RTWIQ)**

Notice has been received that the above Company's Joint Plan of Liquidation became effective on 12/31/2020. Pursuant to the plan, On the Effective Date, Holders of Interests in the Debtors will receive no distribution under the Plan, and all Interests shall be cancelled. See the Joint Prepackaged Plan of Reorganization 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: RTW Retailwinds, Inc., et al., Debtors*. Chapter 11 Case No. 20-18445 (JKS) (Jointly Administered) Joint Plan of Liquidation of RTW Retailwinds, Inc. and Affiliated Debtors.