



**Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC#21-21) 04/26/2021 Sundance Energy
Inc. (SNDEQ)**

Notice has been received that the above Company's Joint Prepackaged Plan or Reorganization became effective on 04/23/2021. Pursuant to the plan, On the Effective Date, all Old Parent Interests shall be canceled, and each Holder of Old Parent Interests shall receive no recovery on account of such Old Parent Interests. See the Company's Joint Prepackaged 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: Sundance Energy Inc., et al.*, Debtor. Chapter 11 Case No. 21-30882 (DRJ) Joint Prepackaged Plan of Reorganization of Sundance Energy Inc. And Its Affiliated Debtors