



**Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC #08-22) 03/04/2022 Sequential Brands
Group Inc (SQBGQ)**

Notice has been received that the above Company's First Amended Joint Plan Of Liquidation became effective on 03/03/2022. Pursuant to the plan, on the effective date, or as soon thereafter as reasonably practicable, all Existing Parent Equity Interests shall be cancelled and Extinguished. Holders of Existing Parent Equity Interests shall not receive any distribution or retain any property pursuant to the plan.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: Sequential Brands Group, Inc., et al., Debtor*. Chapter 11 Case No. 21-11194 (DE) First Amended Joint Plan of Liquidation of Sequential Brands Group, Inc.