



**Attn: Trading and Market Making/Legal and Compliance/Operations/Systems**  
**UNIFORM PRACTICE ADVISORY (UPC #20-17) 05/05/2017**  
**P10 Industries Inc (PIOIQ)**

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Notice has been received that the above Debtors' Prepackaged Plan of Reorganization became effective on 5/4/2017. Unless otherwise provided for in the Prepackaged Plan or pursuant to an order of the Bankruptcy Court, on the Effective Date, the shares of common stock owned or held by Holders of Class 5 Interests shall for all purposes be deemed cancelled and the Holders of Class 5 Interests shall be issued an equal number of shares of common stock in the Reorganized Debtor (New Symbol: PIOE)..., and the Holders of Class 5 Interests that are options to acquire common stock in the Debtor shall be issued options to receive the same number of shares of common stock in the Reorganized Debtor upon the terms and in the amounts provided for in such options that are cancelled pursuant to this Prepackaged Plan.<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.

Members are advised that deliveries in settlement of contracts in the OLD securities, which were executed prior to the announcement that the securities had been deemed worthless, shall be evidenced by either a) the OLD security; 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 Uniform Practice Code 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 P10 Industries, Inc.*, Debtor. No. 17-50635-11-CAG (Debtors' First Amended Prepackaged Plan of Reorganization For P10 Industries, Inc).