



Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC #55-16) 10/31/2016
Doral Financial Corporation (DORPQ; DOROQ; DORLQ; DORNQ; DRLCQ)

Notice has been received that the above Company's Amended Plan of Reorganization filed under Chapter 11 of the Federal Bankruptcy Code, became effective on 10/28/2016. Pursuant to the Plan, on the Effective Date, all notes, instruments, certificates, and other documents evidencing Claims or Equity Interests shall be deemed cancelled and of no further force and effect against the Debtor, without any further action on the part of the Debtor. Holders of Equity Interests shall not receive any distribution pursuant to the Plan or retain any property or interest on account of such Equity Interests unless and until holders of all Allowed Class 1 Claims, Allowed Class 2 Claims, and Allowed Class 4 Claims are paid in full, with accrued interest at the Applicable Rate.

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.