



Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC #27-20) 07/22/2020
Eco-Stim Energy Solutions, Inc. (ESESQ)

Notice has been received that the above Company's First Amended Plan of Liquidation became effective on 7/21/2020. Pursuant to the plan, All Equity Interests in Eco Inc. shall be deemed canceled upon the Effective Date. See the Company's First Amended Plan of Liquidation 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: Eco-Stim Energy Solutions, Inc., Debtor*. Chapter 11 Case No. 20-32167 (Jointly Administered) First Amended Plan of Liquidation of Debtors Eco-Stim Energy Solutions, Inc. and EcoStim, Inc.