



Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC # 24-15) 9/16/2015

Trading Halt for SWK Holdings Corporation (“SWKH”)

On Wednesday, September 16, 2015, the Financial Industry Regulatory Authority, Inc. (“FINRA”) halted trading in the Common Shares of SWKH pursuant to FINRA Rule 6440 because of issues related to perceived post-split trading and subsequent price adjustments. FINRA has determined that halting trading in SWKH is appropriate to protect investors and ensure a fair and orderly marketplace. The halt was initiated on Wednesday, September 16, 2015, at 09:53:28 a.m. E.T. FINRA will notify the market when trading may resume.

Members are reminded to observe Ex-Dividend dates announced by FINRA on the Daily List. The Daily List provides members with critical information, including the issuer name and symbol, amount of distribution, ex-dividend date, record date, payable date and additional information, as applicable, and is available at: <http://otce.finra.org/DailyList>

Questions regarding this notice can be directed to: FINRA Operations at (866) 776-0800.