



**Attn: Trading and Market Making/Legal and Compliance/Operations/Systems**  
**UNIFORM PRACTICE ADVISORY (UPC # 25-15) 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 initiated the trading halt on Wednesday, September 16, 2015, at 09:53:28 AM E.T. and trading can resume in SWKH at 8:00:00 AM E.T. on Thursday, September 17, 2015. Trading in the security will **resume on a pre-split basis**.

Additionally, pursuant to Rule 11893(a), FINRA has reviewed the trading in SWKH for September 16, 2015, and has determined to rule all such transactions in SWKH to be null and void in order to maintain a fair and orderly market and to protect investors and the public interest. Pursuant to 11893(a), FINRA has determined that this ruling is not eligible for appeal. All firms with executions in SWKH on 9/16/15 are required to cancel all trades.

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.