



(Refer to UPC# 55-2021) Trading and Market Making/Legal and Compliance/Operations/Systems UNIFORM PRACTICE ADVISORY (UPC #57-2021) July 15, 2021

WHEN, AS AND IF ISSUED SETTLEMENT DATES _____

ISSUE

Settlement Date

Issuer Name: Prospect Cap Corp

July 19, 2021

Class of Security: Perpetual Preferred Series A Stock

Questions regarding this notice should be directed to: FINRA Operations- 1-866-776-0800.