



(Refer to UPC# 77-2021) Trading and Market Making/Legal and Compliance/Operations/Systems UNIFORM PRACTICE ADVISORY (UPC #81-2021) August 13, 2021

WHEN, AS AND IF ISSUED SETTLEMENT DATES _____

ISSUE

Settlement Date

Issuer Name: Oxford Lane Capital Corp (OXLNP)

August 17, 2021

Class of Security: 6% Series 2029 Preferred Stock

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