



**Attn: Trading and Market Making/Legal and Compliance/Operations/Systems**  
**UNIFORM PRACTICE ADVISORY (UPC #40-23) 10/2/2023 PLx Pharma Inc.**  
**(PLXPQ)**

Notice has been received that the above Company's Joint Chapter 11 Plan of Liquidation became effective on 09/29/2023. Subject to the terms of this Combined Disclosure Statement and Plan, Holders of Allowed Class 5 PLx Parent Interests shall not receive or retain any property, interest in property or other consideration under the Plan of such Class 5 PLx Parent Interests. On the Effective Date, all PLx Parent Interests shall be deemed cancelled and extinguished and the PLx Parent Interests shall cease to be publicly traded. Please refer to the company's Joint Chapter 11 Plan of Liquidation for further details.<sup>1</sup>

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 Market Operations- 1-866-7760800.

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<sup>1</sup> See e.g., In re: PLx Pharma Inc., *et al.*, Chapter 11 Case No. 23-10456 (MFW) (Jointly Administered) Debtors First Amended Combined Disclosure Statement and Joint Chapter 11 Plan of Liquidation