



Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC #43-23) 10/2/2023
Athenex, Inc. (ATNXQ)

Notice has been received that the above Company's Plan of Liquidation became effective on 9/22/2023. Pursuant to the plan, On the Effective Date, there shall be no Distribution on account of Class 7 Interests. Upon the Effective Date, all Interests will be deemed cancelled and will cease to exist. Please consult the company's Plan of Liquidation for further details.¹

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.

¹ See e.g., *In re: ATHENEX, INC., et al.*, Debtors Case No. 23-90295 (DRJ) (Jointly Administrated) & Plan of Liquidation of Athenex, Inc. And Its Affiliated Debtors Under Chapter 11 of the Bankruptcy Code