



**Attn: Trading and Market Making/Legal and Compliance/Operations/Systems  
UNIFORM PRACTICE ADVISORY (UPC #54-23) 12/06/2023 AppHarvest,  
Inc. (APPHQ, APPWQ)**

Notice has been received that the above Company's Amended Joint Plan of Liquidation has become effective on 12/05/2023. Pursuant to the plan, on the Effective Date, all Existing Equity Interests shall be canceled, released, and extinguished, and will be of no further force or effect, and Holders of such Existing Equity Interests shall not receive any distribution, property, or other value under the Plan on account of such Interest. See the Company's Second Amended Joint Plan of Liquidation for more 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- 1-866-776-0800.

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<sup>1</sup> See e.g., *In re: APPHARVEST PRODUCTS, LLC., et al., Debtors*. Chapter 11 Case No. 23-90745 (DRJ) (Jointly Administered) Debtor's Second Amended Joint Plan of Liquidation of AppHarvest Products, LLC and its Debtor Affiliates Under Chapter 11 of the Bankruptcy Code.