



Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC #55-23) 12/07/2023 Capstone Green
Energy Corporation (CGRNQ)

Notice has been received that the above Company's Joint Prepackaged Chapter 11 Plan of Reorganization became effective on 12/07/2023. Each shareholder in Capstone shall have its Equity Interest fully extinguished and discharged and shall receive its Pro Rata share of one hundred percent (100%) of the Reorganized PublicCo Equity, subject to dilution from any shares issued pursuant to the EIP in accordance with this Plan. All other Equity Interests, except as otherwise set forth in the Plan, including, without limitation, all warrants, including the Pre-Petition Warrants, and restricted stock units or similar contractual equity rights shall be cancelled and terminated and receive no distribution. Please consult the Company's Joint Prepackaged Chapter 11 Plan of Reorganization 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 of 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.

¹ See e.g., *In re: Capstone Green Energy Corp., et al.*, Debtors Case No. 23-11634 Joint Prepackaged Chapter 11 Plan of Reorganization of Capstone Green Energy Corp and Its Debtor Affiliates.