



Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC #58-23) 12/14/2023 Allena
Pharmaceuticals Inc (ALNAQ)

Notice has been received that the above Company's Amended Plan of Liquidation became effective on 06/20/2023. As of the Effective Date, Holders of Interests in the Debtor will receive no distribution under the Plan. Except for purposes of evidencing a right to a distribution under the Plan or as otherwise provided for in the Plan or herein, (a) all agreements and other documents evidencing the Claims or rights of any holders of such Claims against the Debtor, including, but not limited to, all contracts, notes and guarantees, and (b) all Interests, shall be deemed automatically cancelled and the obligations of the Debtor thereunder or in any way related thereto, including any obligation of the Debtor to pay any franchise or similar type taxes on account of such Claims or Interests, shall be released. Please consult the Company's Amended 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 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: Allena Pharmaceuticals, Inc., Debtor*. Case No. 22-10842 (KBO) Amended Plan of Liquidation of Allena Pharmaceuticals, Inc Pursuant To Chapter 11 Of the Bankruptcy Code.