



Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC #44-24) 07/15/2024 Humanigen Inc
(HGENQ)

Notice has been received that the above Company's Combined Chapter 11 Plan of Liquidation and Disclosure Statement became effective on 7/12/2024. On the Effective Date, Existing Equity Interests shall be cancelled and will be of no further force or effect. Following payment in full of all other Allowed Claims, except to the extent that a Holder of an Allowed Existing Equity Interest agrees to less favorable treatment, in exchange for full and final satisfaction, settlement, and release of each Allowed Existing Equity Interest, each Holder of such Allowed Existing Equity Interest shall receive its Pro Rata share of the Liquidating Trust Proceeds. See the Company's Combined Chapter 11 Plan of Liquidation for more 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- 1-866-776-0800.

¹ See e.g., In re: Chapter 11 Case No. 24-10003. Combined Chapter 11 Plan of Liquidation and Disclosure Statement for Humanigen Inc