



Attn: Refer to UPC # 27-14: Trading and Market Making/Legal and Compliance/Operations/Systems

UNIFORM PRACTICE ADVISORY (UPC # 32-14) Date 8/12/2014

WHEN, AS AND IF ISSUED SETTLEMENT DATES

ISSUE

SETTLEMENT DATE

**Asterias Biotherapeutics, Inc.
Common Stock Series A**

8/18/2014

Questions regarding this notice should be directed to: FINRA Operations- 1-866-776-0800.