



DISCLAIMERS & NOTIFICATIONS

PRIVACY POLICY

At H.C. Wainwright, we recognize the importance of protecting your privacy and we have policies in place to maintain the confidentiality and security of your personal information. The policy is designed to help you understand what information we collect from you and how we use that information to serve your account.

CONFIDENTIALITY AND SECURITY: We respect access to nonpublic information, personal information about you, to those employs and agents who need to know that information in order to provide products and services to you. We maintain physical, electronic and procedural safeguards to protect your nonpublic, personal information.

CATEGORIES OF INFORMATION THAT H.C. WAINWRIGHT DISCLOSES AND PARTIES TO WHOM IT IS DISCLOSED: We do not disclose any nonpublic, personal information about our customers or former customers to anyone, except as permitted by law.

CATEGORIES OF INFORMATION THAT H.C. WAINWRIGHT COLLECTS: We collect nonpublic, personal information about you from the following sources:

1. Information we receive from you on applications and other forms.
2. Information about your transactions with our affiliates and us.

OPTING OUT: Please be aware that you have the right to maintain the privacy of your nonpublic, personal information. Should our policy change, we will notify you and at that time, you may notify us, in writing, if you wish that your information not be used for any other purpose than maintaining your account with our Firm.

For any questions regarding H.C. Wainwright & Co., LLC compliance policies or procedures, please contact our Compliance Department: compliance@hcwco.com.

BUSINESS CONTINUITY PLAN

H.C. Wainwright & Co., LLC has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

CONTACTING US - If after a significant business disruption you cannot contact us as you usually do at 212.356.0500, please visit our web site at www.hcwainwright.com. If you cannot access us through either of those means, you should contact the appropriate clearing for instructions on how you may obtain prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions.

OUR BUSINESS CONTINUITY PLAN - We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption. Our business continuity plan addresses: data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

FINRA NOTIFICATION (INVESTOR EDUCATION & BROKER CHECK)

FINRA's public disclosure program toll free hotline number is 1(800) 289-9999 and FINRA's website address is: <http://brokercheck.finra.org/>

The public may access FINRA Broker Check, to lookup broker and Firm's regulatory record.

SIPC NOTIFICATION

All customers are advised that information about SIPC, including the SIPC brochure, may be obtained by contacting SIPC.

SIPC may be contacted by phone, email or regular mail:

Securities Investor Protection Corporation

805 15th Street, N.W. Suite 800

Washington, D.C. 20005-2215

Tel: (202)371-8300

Fax: (202)371-6728

Email: asksipc@sipc.org

For more detailed information please visit the SIPC website at www.sipc.org

CIP (CUSTOMER IDENTIFICATION PROGRAM) NOTICE

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person or company who opens an account with H.C. Wainwright & Co., LLC.

What this means for you: When you open account, we will ask for the name of your entity, address, tax identification number and other information that will allow us to identify you. We may also to see your articles of incorporation, partnership agreement or other identifying documents.

CUSTOMER COMPLAINT CONTACT INFORMATION:

Attention: Compliance

HC Wainwright & Co., LLC.

430 Park Avenue

New York, NY 10010

Email HCW Compliance: compliance@hcwco.com

Telephone number: 212-356-0500

Notice: Disclosures and Notices are posted on the Firm's website located at www.hcwainwright.com.