

Gagnon Securities, LLC
Privacy Policy

In compliance with SEC Regulation SP, we notify you annually of our policies and procedures with regard to how we maintain our client's privacy. Gagnon Securities, LLC ("Gagnon Securities") has a long-standing policy committed to protecting our clients' confidentiality and the security of all information obtained from our clients. If you have any questions or concerns regarding the procedures discussed below, please do not hesitate to call us.

Prior to opening an account with us, we obtain, directly from you, financial and personal information. By providing us with this information you give us consent to use the information only for the purpose for which it was collected. This information is used by your portfolio manager, client services team and our management team to evaluate suitability for our investment approach, as well as to determine how, together, we can meet your individual investment goals. Periodically, we will ask that you furnish us with updated information. Please know that our website does not include tracking or analytical software. Our website is for informational purposes only.

Your portfolio manager and client services team employed at Gagnon Securities have access to this information for administrative purposes. Client files and records are kept securely. Systems that contain personal information are password protected and have multifactor authentication in place. Only employees that require to have access to sensitive information are granted access. All of our employees are required to protect our clients' confidentiality and access information only when appropriate to do so. Violators of our policies are subject to disciplinary action and/or legal action. We clear all of our accounts through National Financial Services LLC, Fidelity Clearing & Custody Solutions® ("NFS") on a fully disclosed basis. Therefore, we forward information and documentation pertaining to your account to NFS at the time your account is opened. Moreover, NFS maintains this information and records all account activity, and has its own privacy policy that it will forward to you under separate cover.

Gagnon Securities shares office space with other unaffiliated companies and individuals. They have an office distinctly separate from Gagnon Securities and have access only to "common areas" within our office. They do not have access to Gagnon Securities' network or systems. Unaffiliated individuals, or visitors to our floor, are restricted from entering areas in which your personal information is maintained.

It is our policy not to share or disclose any information to any person or business entity except as permitted by law or when specifically directed to do so by our clients. As you are aware, Gagnon Securities utilizes Battea Class Action Services LLC to process class actions on your behalf.

For more information about opting out of this service or if you have any questions in regard to the information contained in this notice, please contact us at 212-554-5000 or clientservices@gagnonsec.com. As always, thank you for giving us the opportunity to provide our services to you.