



PRIVACY POLICY

Hercules Capital, Inc. (“Company”) is required by state and federal law to explain the privacy policies of the Company and its affiliated companies as it applies to both our current and former stockholders.

Our policy is to safeguard and maintain the confidentiality of all information we receive from stockholders. The information is limited to collecting each stockholder’s name and address and the number of shares held by each stockholder. It is the Company’s policy to use such stockholder only to service stockholder accounts, send information regarding the Company to the Company’s stockholders and disclose or provide any other information required to be disclosed or provided by law.

The Company will not share any non-public personal information with any non-affiliated third parties with the exception of Company employees who have a need to know, service providers, and if required by law.

Our Privacy Notice is made available upon request and is attached hereto.

Approved by the Board on December 8, 2010; amended and approved on July 7, 2015 and November 19, 2019.



PRIVACY NOTICE

Hercules Capital, Inc. (“Hercules”) is committed to protecting your privacy. This privacy notice, which is required by state and federal law, explains the privacy policies of Hercules and its affiliated companies. This notice supersedes any other privacy notice you may have received from Hercules, and its terms apply both to our current customers and to former customers as well.

How We Protect Your Customer Information

We are committed to maintaining the privacy of our stockholders and to safeguarding your non-public personal information. We will safeguard, according to strict standards of security and confidentiality, all information we receive about you. With regard to this information, we maintain physical, electronic, and procedural safeguards that comply with federal and state standards.

What Kind of Information We Collect

The only information we collect from you is your name, address, and number of shares you hold. Generally, we do not receive any non-public personal information relating to our stockholders, although certain non-public personal information of our stockholders may become available to us.

How We Use this Information

This information is used only so that we can service your account, send you annual reports and other information about Hercules, and send you proxy statements or other information required by law.

Who Has Access to Customer Information

We restrict access to non-public personal information about our stockholders. We do not share any non-public personal information with any non-affiliated third party except as described below.

- **The People and Companies that Make Up Hercules.** It is our policy that only authorized Hercules employees who need to know your personal information will have access to it. Hercules personnel who violate our privacy policy are subject to disciplinary action.
- **Service Providers.** We may disclose customer information to companies that provide services on our behalf, such as record keeping, processing your trades, and mailing you information. These companies are required to protect your information and use it solely for the purpose for which they received it.
- **Courts and Government Officials.** If required by law, we may disclose your non-public personal information in accordance with a court order or at the request of government regulators. Only that information required by law, subpoena, or court order will be disclosed.

We will protect this information using physical, electronic, and procedural safeguards that comply with federal and state standards.