

Maxim Group expects to receive or intends to seek compensation for investment banking services from the subject company in the next 3 months

COMPANY	SYMBOL
9 Meters Biopharma, Inc.	NMTR
ABM Industries Incorporated	ABM
Achieve Life Sciences Inc.	ACHV
Actinium Pharmaceuticals Inc.	ATNM
Adamis Pharmaceuticals Corp	ADMP
Adial Pharmaceuticals, Inc.	ADIL
ADMA Biologics, Inc.	ADMA
Aegion Corp.	AEGN
AIM ImmunoTech Inc.	AIM
Agile Therapeutics, Inc.	AGRX
Agilsys Inc.	AGYS
Agrify Corporation	AGFY
Alarm.com Holdings, Inc.	ALRM
Allscripts-Misys Healthcare Sol.	MDRX
American Capital Agency Corp	AGNC
American Resources Corporation	AREC
AmpliTech Group, Inc.	AMPG
Amryt Pharma plc	AMYT
Annovis Bio, Inc.	ANVS
Antibe Therapeutics	ATE.V
Appili Therapeutics Inc.	APLI.V
Applied DNA Sciences Inc.	APDN
Aptose Biosciences	APTO
Aridis Pharmaceuticals Inc.	ARDS
Arlington Asset Investment Corp.	AI
Armata Pharmaceuticals, Inc.	ARMP
Artelo Biosciences Inc.	ARTL
Astec Industries Inc.	ASTE
ATN International Inc.	ATNI
Atossa Genetics Inc.	ATOS
AzurRx Bipharma Inc.	AZRX
Badger Meter, Inc.	BMI
Barfresh Food Group Inc.	BRFH
Beam Global	BEEM
BeiGene, Ltd.	BGNE
BioCardia Inc.	BCDA
Biocept Inc.	BIOC
BioHitech Global Inc.	BHTG
BioKey	BKYI
Biolase Inc.	BIOL
Brainstorm Cell Therapeutics Inc.	BCLI

Biolife Solutions, Inc.	BLFS
BioLineRx, Ltd.	BLRX
BM Technologies, Inc.	BMPX
Bionano Genomics, Inc.	BNGO
BioPharmX Corporation	BPMX
Bioporto A/S	BIOPOR
Biotricity Inc.	BTCY
Boxlights Corp.	BOXL
BWX Technologies Inc.	BWXT
Capricor Therapeutics, Inc.	CAPR
Capstone Turbine Corporation	CPST
Cassava Sciences	SAVA
CECO Environmental	CECE
Celcius Holdings, Inc.	CELH
Cellectar Biosciences, Inc.	CLRB
Centrexion	CFRX
Cerecor Inc.	CERC
Cidara Therapeutics, Inc.	CDTX
Chimerix, Inc.	CMRX
Clene Inc.	CLNN
Co-Diagnostics, Inc.	CODX
CohBar, Inc.	CWBR
Coherus Biosciences	CHRS
County Bancorp, Inc.	ICBK
Chesapeake Utilities Corp.	CPK
CNS Pharmaceuticals, Inc.	CNSP
COMPASS Pathways plc	CMPS
CroBar Inc.	CWBR
Cutera Inc.	CUTR
Cybin Inc.	CLXPF
Cyclo Therapeutics, Inc.	CYTH
Cytosorbents Corporations	CTSO
Dare Bioscience Inc.	DARE
Daxor Corporation	DXR
Delmar Pharmaceuticals	DMPI
diaDexus, Inc.	DDXS
DiaMedica Therapeutics	DMAC
Digital Turbine Inc.	APPS
Dolphin Entertainment Inc.	DLPN
Eagle Bulk Shipping Inc.	EGLE
Ebox, Inc.	EBIX
electroCore, Inc.	ECOR
Elevate Credit, Inc.	ELVT
Ellington Financial LLC	EFC
Elys Game Technology, Corp.	ELYS
Emcor Group Inc.	EME
Emerald Biosciences Inc.	EMBI

Emmaus Life Sciences, Inc.	EMMA
Enova International Inc.	ENVA
Enservco Corp.	ENSV
Entera Bio Ltd.	ENTX
Enveric Biosciences, Inc.	ENVB
Esports Entertainment Group, Inc.	GMBL
Eurodry Ltd.	EDRY
Euroseas Ltd.	ESEA
EVINE Live, Inc.	EVLV
Fennec Pharmaceuticals Inc.	FENC
Field Trip Health Ltd.	FTRPF
First Savings Financial Group Inc.	FSFG
Flexshopper Inc.	FPAY
Fluidigm Corporation	FLDM
Foamix Pharmaceuticals Ltd.	FOMX
Forrester Research, Inc.	FORR
Galapagos NV	GLPG
Galmed Pharmaceuticals Ltd.	GLMD
GeoVax Labs, Inc.	GOVX
Gladstone Land Corporation	LAND
Globus Maritime Limited	GLBS
Glori Energy, Inc	GLRI
Good Times Restaurants, Inc.	GTIM
GreenPower Motor Company Inc.	GP
GSE Systems, Inc.	GVP
GWG Holdings Inc.	GWGH
Hall of Fame Resort & Entertainment Company	HOFV
Hancock Jaffe Laboratories, Inc.	HJLI
Heat Biologics Inc.	HTBX
Helios and Matheson Analytics Inc.	HMNY
Horizon Technology Finance Corp	HRZN
HyreCar Inc.	HYRE
Identiv Inc.	INVE
IEC Electronics Corp.	IEC
Immutep Limited	IMMP
InMed Pharmaceuticals Inc.	IMLFF
Inovio Pharmaceuticals Inc	INO
Intec Pharma Ltd.	NTEC
Intevac Inc.	IVAC
The Joint Corp.	JYNT
Karuna Therapeutics, Inc.	KRTX
Kubient, Inc.	KBNT
Kura Sushi USA, Inc.	KRUS
Landec Corp.	LNDC
LendingClub Corp.	LC
LivePerson, Inc.	LPSN
LogMeIn Inc.	LOGM

Magic Software Enterprises	MGIC
Manhattan Bridge Capital, Inc.	LOAN
Matinas Biopharma Inc.	MTNB
Medicenna Therapeutics Corp.	MDNAF
Mesoblast ltd	MESO
Milestone Scientific Inc	MLSS
Mind Medicine (MindMed) Inc.	MNMD
Mistras Group Inc.	MG
Mitek Systems, Inc.	MITK
MediciNova, Inc.	MNOV
Mind Cure Health Inc.	MCURF
Mindset Pharma Inc.	MSSTF
Moleculin Biotech, Inc.	MBRX
Monopar Therapeutics Inc.	MNPR
MTBC Inc.	MTBC
Mydecine Innovations Group Inc.	MYCOF
MYR Group	MYRG
Navidea Biopharmaceuticals, Inc.	NAVB
Nephros Inc.	NEPH
Net 1 UEPS Technologies, Inc.	UEPS
NetSol Technologies, Inc.	NTWK
New York Mortgage Trust, Inc.	NYMT
Nicollet Bankshares Inc.	NCBS
NLS Pharmaceuticals AG	NLSP
Northwest Natural Holding	NWN
Nutanix Inc.	NTNX
Nuwellis, Inc.	NUWE
NV5 Global, Inc.	NVEE
Omeros Coporation	OMER
Onconova Therapeutics Inc.	ONTX
OncoSec Medical Incorporated	ONCS
Oncorus, Inc.	ONCR
OSE Immunotherapeutics SA	OSE.PA
Otter Tail Corp.	OTTR
Overstock.com Inc.	OSTK
PainReform Ltd.	PRFX
Parateum Corp.	TEUM
PAVmed Inc.	PAVM
Paysign Inc.	PAYS
Panbela Therapeutics Inc.	PBLA
PennartPark Floating Rate Capital	PFLT
PharmaTher Holdings Ltd.	PHRRF
Pitney Bowes Inc.	PBI
Pulse Biosciences, Inc.	PLSE
Pluristem Therapeutics, Inc.	PSTI
Plus Therapeutics, Inc.	PSTV
Powerbridge Technologies, Inc.	PBTS

PowerSecure International	POWR
Profire Energy, Inc.	PFIE
Perficient, Inc.	PRFT
Precipio, Inc.	PRPO
ProMIS Neurosciences, Inc.	PMN.TO
PsyBio Therapeutics Corp.	PSYBF
Pyxis Tankers	PXS
Quotient Technologies Inc.	QUOT
Ra Medical Systems, Inc.	RMED
Reebonz Holding Limited	RBZ
Recon Technology Ltd.	RCON
Reeds Inc	REED
Research Solutions, Inc.	RSSS
Restoration Robotics, Inc.	HAIR
Reviva Pharmaceuticals Holdings, Inc.	RVPH
RiceBran Technologies	RIBT
RumbleOn, Inc.	RMBL
Safe Bulkers Inc.	SB
Saratoga Investment Corp.	SAR
SCYNEXIS Inc.	SCYX
Seanergy Maritime Holdings Corp.	SHIP
Sellas Life Sciences	SLS
Sensus Healthcare Inc.	SRTS
Sequenom	SQNM
Sientra, Inc.	SIEN
Sify Technologies Limited	SIFY
Sino-Global Shipping America, Ltd.	SINO
SINTX Technologies, Inc.	SINT
Super League Gaming, Inc.	SLGG
Sona Nanotech Inc.	SNANF
Solar Senior Capital Ltd	SUNS
Soleno Therapeutics	SLNO
Soliton, Inc.	SOLY
Stamps.com Inc.	STMP
Star Equity Holdings	STRR
Stealth BioTherapeutics Corp.	MITO
Sterling Bancorp	STL
Sterling Construction Company	STRL
Summit Wireless Technologies Inc.	WISA
Super Micro Computer Inc.	SMCI
SWK Holdings Corporation	SWKH
Synthetic Biologics, Inc.	SYN
Tecogen Inc.	TGEN
Tetra Tech, Inc.	TTEK
Titan Medical Inc.	TMDI
Titan Pharmaceuticals, Inc.	TTNP
TFF Pharmaceuticals Inc.	TFFP

Top Ships Inc.	TOPS
Toughbuilt Industries Inc.	TBLT
TRACON Pharmaceuticals, Inc.	TCON
TrovaGene, Inc.	TROV
Trxade Group, Inc.	MEDS
Turtle Beach Corporation	HEAR
Two Harbors Investment Corp.	TWO
UMH Properties Inc.	UMH
U.S. Geothermal Inc.	HTM
Usio Inc.	USIO
Venus Concept Inc.	VERO
VerifyMe Inc.	VRME
Viking Therapeutics Inc.	VKTX
VirTra, Inc.	VTSI
VistaGen Therapeutics Inc.	VTGN
Viveve Medical Inc.	VIVE
VolitionRx Limited	VNRX
Vuzix Corporation	VUZI
Whitestone REIT	WSR
WiMi Hologram Cloud Inc.	WIMI
Wrap Technologies Inc.	WRAP
Xtant Medical Holdings, Inc.	XTNT
Yield10 Bioscience, Inc.	YTEN
Zedge, Inc.	ZDGE