



### **Important Messages**

As a member of the Financial Industry Regulatory Authority (FINRA), Roth Capital Partners, LLC would like to inform you of the availability of an FINRA Investor Brochure that includes information describing the FINRA's BrokerCheck program. The BrokerCheck program provides certain information about the disciplinary history of FINRA Members and their associated personnel. For more information, you may contact the FINRA Regulation BrokerCheck hotline at 1-800-289-9999 or visit the FINRA Web Site at [www.finra.org](http://www.finra.org).

We would also like to provide you with the following contact information should you wish to file a complaint with Roth Capital Partners. All complaints should be directed to the Roth Capital Partners Compliance Department at the following address:

#### **Roth Capital Partners**

Attn: Compliance Department  
888 San Clemente Drive  
Newport Beach, CA 92660

You may also contact the compliance department by calling (949) 720-5700. Please ask the receptionist to direct your call to the compliance officer.