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*For use by Section 16 insiders seeking pre-clearance to transact in Company Securities.*

**Section 16 insiders may transact only during an Open Trading Window.**

**Section 16 insiders must obtain pre-clearance to transact in Company Securities.**

**Upon executing a transaction, Section 16 insiders must immediately notify the Company in order to allow timely filing of Form 4 with the SEC.**

**Transaction Vehicle (check one)**

- Open Market Transaction
- Equity Compensation Plan
- Other (specify):

**Transaction Initiated By (check one)**

- Section 16 insider or immediate family member directly
- Court or government decree (e.g., divorce decree)
- Broker (provide name, firm, telephone and e-mail):

**Type of Transaction (check one)**

- Purchase or acquire common stock
- Sell or dispose of common stock
- Move Company Securities from one account to another (e.g., in or out of a trust)
- Dispose of fractional shares
- Pledge Company Securities for margin account, or otherwise
- Exercise options without subsequent sale
- Exercise options with subsequent sale (e.g., a "cashless exercise")
- Other (describe):

**Transaction Detail (provide the following information)**

Number of securities:

Estimated share price:

Contemplated execution date:

Date of your last "opposite way" transaction\*\*:

**Certification**

I certify that I have fully disclosed the information requested in this form, I have read the NUWELLIS, INC. Insider Trading Policy, I am not in possession of material nonpublic information, and to the best of my knowledge and belief the proposed transaction will not violate the NUWELLIS, INC. Insider Trading Policy.

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Date: \_\_\_\_\_

*\* Capitalized terms used but not defined herein have the meanings ascribed to them in the NUWELLIS, INC. Insider Trading Policy.*

*\*\* If a Section 16 insider buys and sells (or sells and buys) Company Securities within a six-month time frame and such transactions are not exempt under SEC rules, the two transactions can be "matched" for purposes of Section 16. The insider may be sued and will be strictly liable for any profits made, regardless of whether the insider was in possession of material nonpublic information.*