

NOTICE OF PRIVACY PRACTICES

Effective: May 19, 2017

THIS NOTICE DESCRIBES HOW MEDICAL INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY.

If you have any questions about this notice, please contact Gina Davis at (415) 967-3375 or gdavis@advocategenetics.com.

OUR PLEDGE REGARDING MEDICAL INFORMATION

Advocate Genetics understands that medical information about you and your health is personal, and we are committed to protecting medical information about you. In the normal course of business, we collect information and create records about you and the services we provide you. We need this record to provide you with quality care and to comply with certain legal requirements. This notice applies to all of the records of your care generated by Advocate Genetics.

This notice will tell you about the ways in which we may use and disclose medical information about you. We also describe your rights and certain obligations we have regarding the use and disclosure of medical information.

HOW WE MAY USE AND DISCLOSE MEDICAL INFORMATION ABOUT YOU

The following categories describe different ways that we use and disclose medical information. For each category of uses or disclosures we will explain what we mean and try to give some examples. Not every use or disclosure in a category will be listed. However, all of the ways we are permitted to use and disclose information will fall within one of the categories.

Uses and Disclosures That Do Not Require Your Authorization

Treatment

We may use medical information about you to provide you with treatment or services. For example, using your lab test results to counsel you. We may also disclose medical information about you to doctors, nurses, technicians, or other personnel who are involved in your care for purposes of diagnosis and treatment.

Payment

We may use and disclose medical information about you so that the treatment and services you receive may be billed to and payment may be collected from you, an insurance company or a third party. For example, if your insurance covers the services you receive at Advocate Genetics, we may need to give information about those services to your insurance company, so it will pay us or reimburse you.

Health Care Operations

We may use and disclose medical information about you for health care operations. These uses and disclosures are necessary to run Advocate Genetics and make sure that all of our patients

receive quality care. For example, we may use medical information to review our treatment and services and to evaluate the performance of our staff in caring for you. We may also combine medical information about many patients to decide what additional services we should offer, what services are not needed, and whether certain new treatments are effective.

Disaster Relief

We may disclose medical information about you to an organization assisting in a disaster relief effort so that a family member or another person responsible for your care can be notified about your condition, status and location. However, if you are able to make your own health care decisions, we will first obtain your agreement or provide you with an opportunity to object to the disclosure.

Public Health Activities

We may disclose medical information about you for public health activities. These activities generally include the following:

- To prevent or control disease, injury or disability;
- To report births and deaths;
- To report regarding the abuse or neglect of children, elders and dependent adults;
- To report reactions to medications or problems with products;
- To notify people of recalls of products they may be using;
- To notify a person who may have been exposed to a disease or may be at risk for contracting or spreading a disease or condition;
- To notify the appropriate government authority if we believe a patient has been the victim of abuse, neglect or domestic violence. We will only make this disclosure if you agree or when required or authorized by law;
- To notify emergency response employees regarding possible exposure to HIV/AIDS, to the extent necessary to comply with state and federal laws.

Health Oversight Activities

We may disclose medical information to a health oversight agency for activities authorized by law. These oversight activities include, for example, audits, investigations, inspections, and licensure. These activities are necessary for the government to monitor the health care system, government programs and compliance with civil rights laws.

Lawsuits and Disputes

If you are involved in a lawsuit or a dispute, we may disclose medical information about you in response to a court or administrative order. We may also disclose medical information about you in response to a subpoena, discovery request, or other lawful process by someone else involved in the dispute, but only if efforts have been made to tell you about the request (which may include written notice to you) or to obtain an order protecting the information requested.

Law Enforcement

We may release medical information if asked to do so by a law enforcement official:

- In response to a court order, subpoena, warrant, summons or similar process;
- To identify or locate a suspect, fugitive, material witness, or missing person;

- About the victim of a crime if, under certain limited circumstances, we are unable to obtain the person's agreement;
- About a death we believe may be the result of criminal conduct;
- About criminal conduct at Advocate Genetics; and
- In emergency circumstances to report a crime; the location of the crime or victims; or the identity, description or location of the person who committed the crime.

Coroners, Medical Examiners, and Funeral Directors

We may release medical information to a coroner or medical examiner. This may be necessary, for example, to identify a deceased person or determine the cause of death. We may also release medical information to funeral directors as necessary to carry out their duties.

Organ and Tissue Donation

We may release medical information to organizations that handle organ procurement or organ, eye or tissue transplantation or to an organ donation bank, as necessary to facilitate organ or tissue donation and transplantation.

Research

Under certain circumstances, we may use and disclose medical information about you for research purposes. All research projects, however, are subject to a special approval process. This process evaluates a proposed research project and its use of medical information, trying to balance the research needs with patients' need for privacy of their medical information. Before we use or disclose medical information for research, the project will have been approved through this research approval process, but we may, however, disclose medical information about you to people preparing to conduct a research project, for example, to help them look for patients with specific medical needs, as long as the medical information they review does not leave Advocate Genetics.

To Avert a Serious Threat to Health or Safety

We may use and disclose medical information about you when necessary to prevent a serious threat to your health and safety or the health and safety of the public or another person. Any disclosure, however, would only be to someone able to help prevent the threat.

Military

If you are a member of the armed forces, we may release medical information about you as required by military command authorities. We may also release medical information about foreign military personnel to the appropriate foreign military authority.

National Security Activities

We may release medical information about you to authorized federal officials for intelligence, counterintelligence, and other national security activities authorized by law; or for the provision of protective services to the President, other authorized persons or foreign heads of state, or to conduct related investigations.

Workers' Compensation

We may release medical information about you for workers' compensation or similar programs. These programs provide benefits for work-related injuries or illness.

Fundraising Activities

We may use certain limited information about you, or disclose such information to a foundation related to Advocate Genetics, to contact you in an effort to raise money for Advocate Genetics and its operations. You have the right to opt out of receiving fundraising communications. If you receive a fundraising communication, it will tell you how to opt out.

Disclosure at Your Request

We may disclose your medical information when requested by you. This disclosure at your request may require a written authorization by you.

As Required by Law

We will disclose medical information about you when required to do so by federal, state or local law.

Uses and Disclosures of Medical Information that Require Your Authorization

Marketing and Sale of Medical Information

Most uses and disclosures of medical information for marketing purposes, and disclosures that constitute a sale of medical information, require your authorization.

Other Uses and Disclosures of Medical Information

Other uses and disclosures of medical information not covered by this notice or the laws that apply to us will be made only with your written permission. If you provide us permission to use or disclose medical information about you, you may revoke that permission, in writing, at any time. If you revoke your permission, this will stop any further use or disclosure of your medical information for the purposes covered by your written authorization, except if we have already acted in reliance on your permission. You understand that we are unable to take back any disclosures we have already made with your permission, and that we are required to retain our records of the care that we provided to you.

HIV, Alcohol and Substance Abuse, and Mental Health Information

In some circumstances, your health information may be subject to restrictions that may limit or preclude some uses or disclosures described in this notice. For example, there are special restrictions on the use or disclosure of certain categories of information - e.g., tests for HIV or treatment for mental health conditions or alcohol and drug abuse. Government health benefit programs, such as Medi-Cal, may also limit the disclosure of beneficiary information for purposes unrelated to the program.

YOUR RIGHTS REGARDING MEDICAL INFORMATION ABOUT YOU

You have the following rights regarding medical information we maintain about you:

Right to Inspect and Copy

You have the right to inspect and obtain an electronic or paper copy of medical information about you. Usually, this includes medical and billing records, but does not include psychotherapy notes nor information compiled in anticipation of a legal proceeding.

To inspect and obtain a copy of your medical information, you must submit your request in writing to Gina Davis at gdavis@advocategenetics.com. If you request a copy of the information, we may charge a fee for the costs of copying, mailing or other supplies associated with your request. We will respond to your request within 30 days of receipt.

We may deny your request to inspect and obtain a copy in certain very limited circumstances. If you are denied access to your medical information, you may request that the denial be reviewed. Another licensed health care professional chosen by the Advocate Genetics will review your request and the denial. The person conducting the review will not be the person who denied your request. We will comply with the outcome of the review.

Right to Amend

If you feel that medical information we have about you is incorrect or incomplete, you may ask us to amend the information. You have the right to request an amendment for as long as the information is kept by or for Advocate Genetics.

To request an amendment, your request must be made in writing and submitted to Gina Davis at gdavis@advocategenetics.com. In addition, you must provide a reason that supports your request. We will respond to your request within 60 days of receipt.

We may deny your request for an amendment if it is not in writing or does not include a reason to support the request. In addition, we may deny your request if you ask us to amend information that:

- Was not created by us, unless the person or entity that created the information is no longer available to make the amendment;
- Is not part of the medical information kept by or for Advocate Genetics;
- Is not part of the information which you would be permitted to inspect and copy; or
- Is accurate and complete.

Even if we deny your request for amendment, you have the right to submit a written addendum with respect to any item or statement in your record you believe is incomplete or incorrect. If you clearly indicate in writing that you want the addendum to be made part of your medical record, we will attach it to your records and include it whenever we make a disclosure of the item or statement you believe to be incomplete or incorrect.

Right to an Accounting of Disclosures

You have the right to request an "accounting of disclosures." This is a list of the disclosures we made of medical information about you other than our own uses for treatment, payment and health care operations, and with other exceptions pursuant to the law.

To request this list or accounting of disclosures, you must submit your request in writing to Gina Davis at gdavis@advocategenetics.com. Your request must state a time period which may not be longer than six years from the date of your request. Your request should indicate in what form you want the list (for example, electronically or on paper).

The first list you request within a 12-month period will be free. For additional lists, we may charge you for the costs of providing the list. We will notify you of the cost involved and you may choose to withdraw or modify your request at that time before any costs are incurred.

Right to Request Restrictions

You have the right to request a restriction or limitation on the medical information we use or disclose about you for treatment, payment or health care operations, and to someone who is involved in your care or the payment for your care, such as a family member or friend. For example, you could ask that we not use or disclose information about a counseling session you had.

To request restrictions, you must make your request in writing to Gina Davis at gdavis@advocategenetics.com. In your request, you must tell us 1) what information you want to limit; 2) whether you want to limit our use, disclosure or both; and 3) to whom you want the limits to apply, for example, disclosures to your spouse.

We are not required to agree to your request. However, unless otherwise required by law to share the information, we will agree to your request not to disclose your medical information to a health plan or insurer, if you have paid for the service out-of-pocket and in full.

Right to Request Confidential Communications

You have the right to request that we communicate with you in a specific way or at a specific location. For example, you can ask that we only contact you by mail or at work. To request confidential communications, you must make your request in writing to Gina Davis at gdavis@advocategenetics.com. Your request must specify how or where you wish to be contacted. We will not ask you the reason for your request. We will accommodate all reasonable requests.

Right to a Paper Copy of this Notice

You have the right to a paper copy of this notice. You may ask us to give you a copy of this notice at any time, even if you have agreed to receive this notice electronically. To obtain a paper copy of this notice, contact Gina Davis at (415) 967-3375 or gdavis@advocategenetics.com.

OUR DUTIES

We are required by law to:

- Ensure that medical information that identifies you is kept private (with certain exceptions);
- Give you this notice of our legal duties and privacy practices with respect to medical information about you;
- Notify you following a breach of your unsecured medical information; and
- Follow the terms of the notice that is currently in effect.

CHANGES TO THIS NOTICE

We reserve the right to change this notice. We reserve the right to make the revised or changed notice effective for medical information we already have about you as well as any information we receive in the future. We will post a copy of the current notice on our website. The notice will contain the effective date on the first page.

COMPLAINTS

If you believe your privacy rights have been violated, you may file a complaint with Advocate Genetics or with the Secretary of the U.S. Department of Health and Human Services. To file a complaint with Advocate Genetics, contact the Privacy Officer, Gina Davis, at (415) 967-3375 or gdavis@advocategenetics.com. All complaints must be submitted in writing. You will not be penalized for filing a complaint.