

T3 Securities, Inc Business Continuity Plan Summary Statement

This document addresses the Business Continuity Plan of T3 Securities, Inc. (“T3 Securities”). The purpose of this plan is to ensure T3 Securities’ uninterrupted operations and/or restoration of its business and operations in the most efficient and timely manner in case of an internal or external SBD (Significant Business Disruption). T3 Securities clears its securities business through Electronic Transaction Clearing (“ETC”), ICBC Financial Services (ICBC) and APEX Clearing (APEX). All three carry accounts and maintains assets of T3 Securities’ clients.

ETC, ICBC and APEX back up our important records in a geographically separate area from where they and the Firm conduct its business. While every emergency situation poses unique problems based upon external factors, such as time of day and the severity of the disruption, we have been advised by ETC, ICBC and APEX that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within a reasonable period of time. Your orders and requests for funds and securities could be delayed during this period.

VARYING DISRUPTIONS

A disruption can be caused by any accidental, natural or man-made malicious event that threatens or does disrupt normal operations or services for sufficient time to affect significantly, or cause failure to, an organization.

Business disruptions, by their nature, can vary greatly in size, scope and duration. In a disruption to only our firm or a building housing our firm, we will recover our backed-up data and transfer our operations to a local site when needed and expect to recover and resume business within one business day. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within three business days. In either situation, we plan to continue in business and notify you through our website.

OUR BUSINESS CONTINUITY PLAN

Our goal is to quickly recover and resume business operations after a SBD and respond by safeguarding our employee’s lives and the Firm’s property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the Firm’s books and records, and allowing our customers to transact business.

Our business continuity plan addresses: data back-up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; critical suppliers, contractors, banks and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we’re unable to continue our business.

CONTACTING US

If after a significant business disruption you cannot contact us as you usually do by calling our office telephone at (646) 783-4690 or by email at [info@T3 Securities.com](mailto:info@T3Securities.com), you should look for more information at our website, [www.T3 Securities.com](http://www.T3Securities.com). If you cannot contact us through either of these means, you should contact us through our clearing firms:

Electronic Transaction Clearing, Inc. at 213-402-1570, or go to www.etc-clearing.com;

ICBC Financial Services at 212-993-7300 or go to www.icbcfs.com

APEX Clearing – 214-165-1100 or go to www.apexclearing.com

This will provide instructions on how it may provide access to your accounts, securities, enter trade orders or provide other services related to yours account. In the event of a SBD, you may still view your account holdings through the internet or you may contact the appropriate clearing firm.