

Business Continuity Plan

Matrix Executions has developed a Business Continuity Plan to provide reasonable assurance to its clients that Matrix Executions can maintain the continuity of its business even if events, such as a power outage, a natural disaster, a terrorist attack, or other major event occurs that significantly disrupt its business. The plan aims to protect the safety of our employees and to allow our clients to continue to transact business with as little interruption as possible. The plan anticipates a variety of such events and is designed to enable Matrix to maintain business operations such as processing client orders and transactions, maintaining client access to transactions, continued access to Matrix's platforms and communication with its and clients' clearing firms. However, no contingency plan provides complete assurance that an interruption will not occur as a result of a significant disruptive event.

Matrix's Business Continuity Plan focuses on risks that may disrupt Matrix's ability to provide execution services to its clients. The plan addresses and includes actions and redundancies for data back-up and recovery, Matrix's systems, networking, applications, market data feeds, records, regulatory reports, issues regarding counterparties, and relocation sites, including physical location of employees.

Matrix routinely tests individual components of its business continuity plan to ensure that the plan will provide protection in the event of business disruption.

In the event of a significant business disruption, you should contact us by phone at (312) 334-8000 or by e-mail at ops@matrixexecutions.com. You also should contact your clearing firm that has custody of your assets.