



Tradesk Business Continuity Plan Summary

Tradesk Securities, Inc. has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Because the timing and impact of disasters and disruptions is unpredictable, we will be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information about our Business Continuity Plan.

Contacting Us—If after a significant business disruption you cannot contact us as you usually do, you should call our alternative number. If you cannot access us through either of those means, you should contact our clearing firm, Velox Clearing, for instructions on how you may enter orders, get funds transferred, and perform other functions in your account(s).

Our Business Continuity Plan—We plan to recover quickly and resume business operations after a significant business disruption, and respond by safeguarding our employees and property, making financial and operational assessments, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our Business Continuity Plan addresses: data backup and recovery, all mission critical systems, financial and operational assessments, alternate communications with our customers, employees and regulators; alternate physical locations of employees; critical supplier, contractor, bank and counterparty impact; regulatory reporting; and assuring our customers' prompt access to their funds and securities, if we are unable to continue our business.

Our clearing firm, backs up our important records in geographically separate areas. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 24 hours. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions—Significant Business Disruptions can vary in their scope, such as only our firm's office, the city where we are located, or the whole region. Within each of these areas, the severity if the disruption can also vary from minimal to severe. In the event of a Significant Business Disruption, we have plans in place to move to a back-up location or remote locations as necessary. In either situation, we plan to continue business, transfer operations to our clearing firm if necessary, and notify you through our website or customer emergency number. If the Significant Business Disruption is so severe that it prevents us from remaining in business, we will assure our customers' prompt access to their funds and securities.



For More Information—If you have questions about our Business Continuity Plan, you can contact us at (888) 820-9887.