



DISCLOSURE
BUSINESS CONTINUITY PLAN POLICY

❖ FINRA Rule 4370

As a fully disclosed and omnibus clearing firm, the Firm has developed a Disaster Recovery Plan to ensure business continuity. In the Firm's capacity as clearing firm, the Firm provides a variety of services that require the provision of continual technological and operational support to your broker. In connection with accomplishing business continuity, the Firm has established a remote independent Disaster Recovery Site as a major component of the Firm's Disaster Recovery Plan. This Site has resources in place to operate and maintain business critical processes in the event that the Firm's headquarters in Dallas, Texas cannot be occupied due to anything from a natural disaster to a terrorist attack, whether or not such an event affects only the Firm or is more regional in scope. The Disaster Recovery Plan contemplates restoration of critical processes within a 24-hour time span. Please note that the specifics of the Disaster Recovery Plan are subject to modification. You may obtain a copy of the Firm's most current Disaster Recovery Plan by submitting your request to info@apexclearing.com.