



Apex Fintech Brokerage Services LLC Business Continuity Plan Summary

Overview

Apex Fintech Brokerage Services, LLC ("AFBS") maintains a Business Continuity Plan ("BCP") to guide our response to events that may significantly disrupt our business. Since the timing, nature, and impact of disasters and disruptions is unpredictable, it's important for us to be flexible in responding to actual events as they occur. With that in mind, this document outlines our approach to business continuity planning in response to such disruptive scenarios. While AFBS has been thoughtful in developing response plans that address a number of different disruption scenarios, it is important to understand that no amount of business continuity planning can eliminate disruption risks completely. AFBS periodically assesses the effectiveness of its business continuity plans in order to improve these plans and their underlying systems and processes in order to minimize the impact of disruptions to our customers.

Contacting Us

AFBS may communicate the existence of a significant business disruption through various means. Information related to disruptive events may be disseminated via email and may also be communicated through our website(s), mobile application, or web application. Disruptive events may also be communicated through our partners who are utilizing AFBS's introducing brokerage services.

Our Business Continuity Design

Our business continuity plans are designed to enable an immediate response to various types of significant business disruptions, and detail how we plan to recover critical business operations in the event of a disruption. In short, our program is designed to help ensure that we can provide our products & services with as little disruption to customers as possible, that your assets remain secure and accessible, and that you are able to reach us, regardless of the nature and scope of the business interruption. Given our reliance on technology to support our operations, our business continuity planning also addresses the recovery of certain critical technology systems. While every disruptive situation poses unique concerns, AFBS, will seek to restore its operations in order to complete existing and accept new orders and payments as quickly as practicable. Note that your orders and requests for funds and securities may be delayed during this period.

Varying Disruptions

Significant business disruptions can vary in their scope, and may impact only a single building, business district, or region where some of our critical operations are located. In the event of a localized disruption (e.g. a single office location), we will transfer impacted critical operations to another site. In the event of a more widespread disruption, we intend to shift to remote operations or continue operations from outside the affected area. In either situation, we plan to recover and resume business as quickly as possible, and will maintain communication with you regarding the existence and impact of the disruption and inform you when the platform returns to normal operations. If the significant business disruption is so severe that it prevents us from continuing to conduct business, we will take all necessary steps to assure prompt access to your funds and securities.



For More Information

If you have questions about our business continuity planning, you can contact us through our [support center](#).