



SERVICE OF LEGAL PROCESS AND SUBPOENA GUIDELINES

These guidelines describe how to serve subpoenas and other legal process on Apex Fintech Solutions and any of its subsidiaries or affiliates including but not limited to its wholly owned subsidiary, Apex Clearing Corporation (individually and collectively “Apex”), and the information Apex requires in order to respond. The guidelines are intended to address routine civil subpoenas and post-judgment process and will not apply in every case. Apex does not provide legal advice regarding the service of process.

Methods of service

Apex requires that service of subpoenas and other legal process be made in full compliance with applicable law.

Apex does not consent to the service of subpoenas or other legal process by electronic mail, facsimile, or other electronic means, and does not accept service of legal process by those methods. Apex does not maintain an electronic portal or a designated electronic mail address for the service of legal process. Transmission of a subpoena or other legal process to any Apex electronic mail address, including any address published on this website or used by Apex in correspondence, does not constitute service and does not commence any period for response.

Apex recommends that service be made upon its registered agent for service of process, which may be confirmed through the applicable secretary of state. Service upon the registered agent provides the serving party with independent confirmation of the date of service.

Where applicable law permits service by mail, legal process may be served by registered or certified mail, return receipt requested, addressed to:

Apex Clearing Corporation
Attention: Regulatory Response Team
350 N. St. Paul Street, Suite 1300
Dallas, Texas 75201

Apex does not accept service of legal process at any other Apex office or location.

Requests to which these guidelines do not apply

These guidelines do not apply to, and Apex does not by this notice decline to accept, any of the following:

Requests, inquiries, subpoenas, or orders issued by the Securities and Exchange Commission, the Financial Industry Regulatory Authority, the Commodity Futures Trading Commission, the National Futures Association, or any other governmental or self regulatory authority.

Subpoenas, warrants, court orders, or other process issued at the request of law enforcement.

Levies, garnishments, income withholding orders, restraining notices, and similar process transmitted through a channel established by statute, by the issuing authority, or pursuant to an agreement between Apex and the issuing authority or program administrator.

Pleadings, motions, and other papers in any matter in which Apex is a party, which should be served upon Apex's counsel of record in accordance with the applicable rules of procedure.

Identifying information required

Apex maintains its records by account and by taxpayer identification number. In order to identify records responsive to a subpoena, Apex requires the full legal name of the individual or entity and at least two of the following: full taxpayer identification number or Social Security number, date of birth, account number, or current address of record. A subpoena that does not contain sufficient identifying information may be returned without a substantive response.

Subpoenas should identify the records sought with specificity, include the format of production sought, and state the date range for which records are sought. Requests for any and all records, and requests that do not specify a date range, may receive a limited response.

In cases where Apex provides clearing, custody, and execution services for accounts introduced by unaffiliated broker dealers and registered investment advisers, records concerning a customer's relationship with an introducing firm, including communications with that firm and documents held by it, are generally maintained by that firm rather than by Apex and should be sought from that firm directly.

Sensitive personal information

Apex is a registered broker-dealer subject to Regulation S-P and related safeguarding obligations. Apex will not accept or transmit Social Security numbers, account numbers, or other sensitive personal information by unencrypted email. Please do not include such information in unencrypted electronic correspondence directed to Apex.

Response times and costs

Apex makes reasonable efforts to respond to subpoenas that are validly issued and properly served within thirty days, or within the period required by applicable law if that period is shorter. Matters involving complex or voluminous requests may require additional time. Apex reserves the right to seek reimbursement of reasonable production expenses to the extent permitted by applicable law.

Reservation of rights

Nothing in these guidelines waives any right, objection, or defense available to Apex, including objections to jurisdiction, service, scope, relevance, and burden, and the right to move to quash or for other relief. Apex may amend these guidelines at any time.