

## Business Continuity Statement

The Business Continuity Plan (BCP) in operation for MAINFIRST BANK AG, (MFBAG) is the official BCP manual for ensuring security of data and continued operation for MAINFIRST GROUP (MAINFIRST) when outages are incurred. MAINFIRST SECURITIES US INC. (MFUS) operates a separate BCP, which is connected to the MAINFIRST BCP. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this basic information on our BCP.

**Contacting MAINFIRST:** If you cannot contact us after a significant business disruption as you usually can at +49 (69) 78808-100 or +1 (212) 750-4200, you should call our alternative number +49 (6104) 94560-0 or contact us via [info@mainfirst.com](mailto:info@mainfirst.com). Our back-up location is at Philipp-Reis-Str. 4-8, 63150 Heusenstamm, Germany. You may also contact our main clearing and settlement provider BNP Paribas Securities Services S.C.A. at +49 (69) 152 050.

**BCP plan information:** The BCP of MainFirst is deemed to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records and allowing our customers to continue transacting business. The BCP fully incorporates infrastructure which is utilized by other group entities, apply fully to respective books and records of those other entities which may be stored on shared infrastructure and cover from a contingency planning perspective, the provision for secure failover of data centres, network lines, servers where process belonging to critical systems are hosted as well as the alternative communication with customers, providers, employees and regulators. Our recordkeeping service provider, Iron Mountain, as well as our data center provider, Interxion, back up all important records.

In the event of an emergency situation that coincides with a transaction by the firm or our funds and mandates managed, we will contact our relevant counterparties to determine the status of actual as well as the carrying out of new transactions. Our transaction activity may be delayed in the event of a severe emergency situation. Where the transactions cannot be completed, we will contact those counterparties directly to make alternative arrangements to complete those transactions as soon as possible.

**MAINFIRST SECURITIES US INC.:** MFUS books and records reside on shared group infrastructure and are maintained by MFSUS associated persons acting under FINRA supervision. The relationship of MFUS with MFBAG, with respect to NASD Rule 3510(c), is that of foreign affiliate and introducing broker and as such pursuant to the Service Level Agreement. The named individuals, outlined in the aforementioned BCP of MFBAG are also associated persons of MFSUS and are respectively designated as such through the FINRA's contact system (MFUS CRD No. 150982#). MFUS does not hold customer accounts and neither MFSUS nor MFBAG as



regulatory designated clearing firm acts as custodian of the funds or securities of U.S. investors. In the event of an internal or external significant business disruption MFSUS associated persons will have full access to the backup site and backup data as described in the BCP of MFBAG.