



Automated Equity Finance Markets, Inc.’s Business Continuity Planning

Automated Equity Finance Markets, Inc. (“AQS”) has developed a Business Continuity Plan (the “Plan”) regarding our response to events that may significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, the Plan will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information regarding the Plan.

Contacting Us – If, after a significant business disruption you cannot contact us at (212) 905-5225 or via email, you should call our alternative number (212) 297-1784 or go to our web site at www.tradeaqs.com. If you cannot contact us through either of those means, you should contact The Options Clearing Corporation at (877) 501-3253 or your clearing firm(s) through which you ordinarily access our services. Your clearing firm(s) should be able to provide you with information regarding access to your funds and securities and may be able to assist you with the processing of any borrowing or lending transactions. Note that AQS does not hold any customer funds or securities.

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

The Plan addresses data back-up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical locations for employees; the impact on critical suppliers, contractors, banks and counter-parties; and regulatory reporting.

We backup our records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, our objective is to restore AQS operations and allow AQS subscribers to complete existing stock loan transactions and execute new stock loan transactions as soon as possible. Responses to requests directed at the Firm during this period could be delayed.



Varying Disruptions – Significant business disruptions can vary in their scope; such a disruption could affect, for example, only the Firm, a single building housing the Firm, the business district where the Firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only the Firm or a building housing the Firm, we will transfer our operations to a nearby site when needed and expect to recover and resume business within one business day. In a disruption affecting the Firm’s business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business as soon as possible. In either situation, we plan to continue in business and to notify you through our web site (www.tradeaqs.com) or through our customer emergency number (212) 297-1784. If the significant business disruption is so severe that it prevents us from remaining in business, we immediately will notify our customers and attempt to provide them with complete information regarding the status of pending transactions.

For more information – Please note that this Plan may be modified. Updated versions of this Plan will be posted on the Firm’s web site (www.tradeaqs.com) as necessary. If you have questions about our business continuity planning, please contact us at:

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