

Velox Clearing LLC - Business Continuity Plan Notice

Velox's Business Continuity Planning

Velox has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. 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 information on our business continuity plan.

Contacting Us – If after a significant business disruption, you cannot contact us as you usually do at 949-522-6118 or 866-80-VELOX, contacting us via email is recommended.

Our Business Continuity Plan – We plan 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 transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Velox's business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Velox's "mission critical systems" are those that ensure prompt and accurate processing of securities transactions, including order taking, entry, execution, comparison, allocation, clearance and settlement of securities transactions, the maintenance of customer accounts, access to customer accounts and the delivery of funds and securities. More specifically, these systems include or back office processing systems, which are software based, hence disruption of internet is the most significant risk.

Velox backs up its important records in the cloud. 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 operations and be able to complete existing transactions and accept new transactions and payments within 4 hours of a SBD. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our 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 our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within (1) hour. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within (1) hour. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

Office Location #1-Main Office

Our Location #1 Main Office is located at 2400 E. Katella Suite 725 Anaheim, Ca 92806 Its main telephone number is 949-522-6118. Our employees may travel to that office by means of foot, car or train. This location houses finance, operations, client services, compliance and technology departments.

Alternative Physical Location(s) of Employees:

In the event an SBD affects the operation our office locations, employees will work from their residence. Some employees may work from personal residences as approved by the Compliance Department.

For more information – If you have questions about our business continuity planning, or would like to receive a copy, you can contact us at 949-522-6118 or email dl-compliance@velox-global.com.