



| We provide it.

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Customer Disclosure on Business Continuity Planning

In accordance with FINRA Rule 4370, set forth below is a brief explanation of how Red Capital Markets' business continuity plan addresses the possibility of a future significant business disruption and the plan to respond to events of varying scope.

Red Capital Markets' business continuity strategy is multi-faceted and addresses the following issues in the contexts of both short-term and long-term disruptions:

- Business Processes
- Technology
- Personnel
- Facilities
- Communication (internal and external)

In the event of a short-term disruption, such as an evacuation of one or more primary sites, alternative recovery site arrangements have been made. Different courses of action will be pursued depending on the impacted sites. To the extent necessary, critical processing will be rerouted to processing locations that are a significant distance from the affected processing location. Critical impacted staff will be relocated to another site.

In the event of a long-term disruption, such as structural damage to one or more primary sites or occupation of a primary site being prohibited for a significant period of time, alternative staff recovery site procedures exist and an alternative technology recovery site exists. Critical processing will be rerouted to processing locations that are a significant distance away from the affected processing location. Critical impacted staff will be relocated to a site that has the capacity to sustain a longer period of disruption. Procedures are in place with telecommunication carriers to reroute incoming customer calls so that Red Capital Markets should be able to provide uninterrupted customer service.

In addition, an alternative technology recovery site has been established for all proprietary applications required to process business activities. The recovery architecture of the applications has been designed so that the recovery time objectives stated in the business continuity plan should be met.

Communication with customers, vendors and employees is critical to Red Capital Markets' ability to provide exceptional customer service during a disruption. Our business continuity plan provides for employee communications from the executive leadership throughout the entire employee population. Emergency employee contact lists are updated as needed to ensure that these lists are accurate. Vendor and customer contact information is also updated as required.

Red Capital Markets' acknowledges that testing is a key element to ensuring its business continuity plan is comprehensive, adequate and accurate. Red Capital Markets performs annual testing of its business continuity plan.

In conclusion, Red Capital Markets has a robust business continuity program that is focused on customer service, the safety of employees and risk mitigation.

If you have any questions regarding our business continuity plan or seek additional information relative to your account in the event of a disaster, please contact your Red Capital Markets' representative.