



## **APPENDIX 7: BCP Disclosure Statement** **January 2017**

Exotix USA Inc. 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 212 551 3480 or via e-mail, or contact the office of our associated company in London (+44 207 725 1000) or refer to their website [www.exotix.com](http://www.exotix.com).

**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.

Our business continuity plan addresses: data back up 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.

Exotix USA clears its transactions through its non-US affiliate (Exotix Partners LLP) in a "piggyback" arrangement. Should you be unable to reach us during a business outage, you may contact LLP directly for assistance with settlement issues. Their number is: +44 207 725 1000.

**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 approximately one to two weeks. 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 one to two weeks, approximately. In either situation, we plan to continue in business and notify you through our associated company’s web site.

**For more information** – If you have questions about our business continuity planning, you can contact us at 212 551 3480.

**Exotix USA, Inc.**, a corporation incorporated under the laws of the State of Delaware having its principal place of business at 444 Madison Avenue, 36th Floor NY 10022, New York, USA.  
Exotix USA, Inc. is authorised and regulated by the USA’s SEC and is a member of FINRA/SIPC.

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