

## **Business Continuity Plan Customer Disclosure**

### DISCLOSURE STATEMENT

M1 Finance LLC has developed a Business Continuity Plan (the "BCP") concerning 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 BCP.

### CONTACTING US

If, after a significant business disruption, you cannot contact us as you usually do, you should call Nicholas Dalmaso at the following alternate phone number: (312) 600-6668. If you cannot contact us through any of the forgoing phone numbers, you should contact our clearing firm Apex Clearing Corporation 350 N. St. Paul Street, Suite 1300, Dallas, TX 75201, contact Brian Grover (214-765-1542 or [bgrover@apexclearing.com](mailto:bgrover@apexclearing.com)), for instructions on how our clearing firm may provide you with access to your funds and securities or otherwise service your account, including the entering into of trades.

### OUR BUSINESS CONTINUITY PLAN

We plan to attempt 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 BCP is designed to permit us to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our BCP addresses the following: 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.

Our clearing firm backs up your account records and stores them in a geographically remote location. Nonetheless, your orders and requests for funds and securities could be delayed in the event of a significant business disruption.

### VARYING DISRUPTIONS

Significant business disruptions can vary in their scope. They may affect only our firm, a single building housing our firm, the business district where we are 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 may transfer our operations to a local site when needed. In a disruption affecting our business district, city, or region,

we may transfer our operations to a site outside of the affected area. In either situation, we plan to attempt to continue in business, transfer operations to the clearing firm if necessary, and notify you through our web site or through any other means that remain available to us, how you can contact us. 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.

#### FOR MORE INFORMATION

If you have questions about our business continuity planning, you can contact us by phone 630-853-3300, by fax at 630-668-6617, or by e-mail at [n.dalmaso@m1finance.com](mailto:n.dalmaso@m1finance.com).