

## **Business Continuity Plan Statement**

Mint Global Markets, Inc. (“Mint Global Markets”) has developed and tested a Business Continuity Plan on how Mint Global Markets will respond to events that significantly disrupt its business. Since the timing and impact of disasters and disruptions is unpredictable, Mint Global Markets will have to be flexible in responding to actual events as they occur. With that in mind, Mint Global Markets is providing this information on its business continuity plan.

**Contacting Mint Global Markets** – If after significant business disruption clients cannot contact Mint Global Markets at (845) 531-2487; clients should call the Mint Global Markets emergency number (845) 926-5956 or go to our web site [www.speedtrader.com](http://www.speedtrader.com) for further instruction during a significant business disruption.

**Mint Global Markets, Inc.’s Business Continuity Plan** – Mint Global Markets plans to quickly recover and resume business operations after a significant business disruption and respond by safeguarding its employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing customers to transact business. In short, the business continuity plan is designed to permit Mint Global Markets to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

The 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 customers prompt access to their funds and securities if Mint Global Markets is unable to continue its business.

Mint Global Markets’s clearing firms back up important 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, Mint Global Markets has been advised by its’ clearing firm that their objective is to restore their own operations immediately or as soon as possible, depending on the damage to the facility. Clients’ 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 affecting: only Mint Global Markets; a single building housing Mint Global Markets; the business district where Mint Global Markets is located; the city where Mint Global Markets is located; or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe.

Mint Global Markets has equipped each employee with the resources to continue operations from their home. If Mint Global Markets experiences any level of disruption, the firm will transfer operations to a work from home status within 2 hours.

If the disruption is regional in nature, where employees cannot function from home, Mint Global Markets will transfer operations to its clearing firms, if necessary, and notify clients through its web site, [SpeedTrader.com](http://SpeedTrader.com) or a customer emergency number: (845) 926-5956, (only to be used if (845) 531-2487 is unavailable) If the significant business disruption is so severe that it prevents Mint Global Markets from remaining in business, Mint Global Markets will assure its customer's prompt access to their funds and securities.

**For more information** – If you have questions about the business continuity plan, you can contact Mint Global Markets at (845) 531-2487.

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