

## **Aqua Securities, LP (“Aqua”) Business Continuity Disclosure**

In an effort to safeguard the interests of our Participants, Aqua has established a Business Continuity Plan (the “Plan”) to manage the effects of an incident that significantly disrupts business operations. This Business Continuity Plan is designed to comply with regulations and guidelines set forth by the Financial Industry Regulatory Authority.

The Plan contemplates the scope and severity of a significant business disruption while attempting to achieve uninterrupted access for Participants and expedient resumption of technology and market operations. Accordingly, the Plan addresses several essential considerations, including, but not limited to, data back-up and recovery, mission critical systems and functions and alternative methods of communication to Participants and business constituents.

Although the severity of a significant business disruption (“SBD”) will impact the timeframe within which Aqua can resume normal operations, in the event of an occurrence that only impacts Aqua’s corporate headquarters, we are able to transfer business operations to an alternate business continuity worksite and resume business as soon as possible. In the event of an outage affecting our primary data center, Aqua maintains a redundant secondary data center, located in Weehawken, NJ, thereby allowing our technological operations the capability to recover within minutes from the time the decision is made to failover to the secondary site.

While the Plan has been reasonably designed to allow us to operate during SBD’s of varying severity, such potential disruptions are unpredictable. Consequently, Aqua cannot guarantee the availability of systems or recovery timeframe if an SBD occurs.

**Contacting Us** – In the event of an SBD, you can call the main line at 212-821-1100, and also reach specific departments at Aqua by calling the numbers listed on the Aqua website: <http://www.aquaequities.com/contact>. Aqua will take every opportunity available to reach out to Participants in the event of an SBD, or any event that impacts business operations. In the event of an SBD, Aqua will make best efforts to provide timely updates via email communications and telephone to Participants.