



**CaptiveX Securities LLC
Business Continuity Plan Disclosure
April 2025**

CaptiveX Securities LLC ("CaptiveX" or "the Firm") has developed a Business Continuity Plan on how the Firm will respond to events that significantly disrupt its business. Since the timing and impact of disasters and disruptions is unpredictable, the Firm will have to be flexible in responding to actual events as they occur. With that in mind, the Firm is providing you with this information on its business continuity plan.

Contacting the Firm – If after a significant business disruption, you cannot contact CaptiveX as you usually do at (203) 302-9000, you should email the Firm at compliance@captivevex.com for instructions on how to provide prompt access to funds and securities, execute orders and process other trade-related, cash, and security transfer transactions.

CaptiveX's Business Continuity Plan – The Firm 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 our customers to transact business. In short, the Firm's business continuity plan is designed to permit the Firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

CaptiveX's business continuity plan addresses: data backup 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 the Firm is unable to continue our business. Your 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 only the Firm, a single building housing the Firm, the business district where the Firm is located, the city where the Firm is 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 the Firm or a building housing the Firm, it will transfer its operations to a local site when needed and expect to recover and resume business within 24 hours.

In a disruption affecting the Firm's business district, city, or region, the Firm will transfer its operations to a site outside of the affected area and recover and resume business within 1 business day. If the significant business disruption is so severe that it prevents the Firm from remaining in business, the Firm will ensure its customers have prompt access to their funds and securities.

If the Securities Investor Protection Corporation (SIPC) determines that the Firm is unable to meet its obligations to its customers or if its liabilities exceed its assets in violation of Securities Exchange Act Rule 15c3-1, SIPC may seek to appoint a trustee to disburse the Firm's assets to customers. The Firm will assist the appointed trustee by providing its books and records identifying customer accounts subject to SIPC regulation.

Additional Contacts:

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