



**Safra Securities LLC**  
**Business Continuity Plan**

Safra Securities LLC, a subsidiary of Safra National Bank of New York, is an SEC-registered broker-dealer and member of FINRA. This document provides important disclosures required by regulation, rule, or law.

**Safra Securities LLC Business Continuity Plan**

In order to address interruptions to our normal course of business, Safra Securities LLC maintains a business continuity plan, which includes geographically dispersed data centers and alternate processing facilities. The plan is reviewed annually and updated as necessary.

The plan outlines the actions SSL will take in the event of a building, city, or regional incident, including:

- Continuous processing support by personnel located in unaffected facilities;
- Relocating technology or operational personnel to alternate regional facilities; and
- Switching technology data processing to an alternate regional data center.

All SSL operational facilities are equipped for resumption of business and are tested. Regarding all circumstances within our control, SSL's recovery time objective for business resumption, including those involving a relocation of personnel or technology is four (4) hours, depending upon the availability of external resources.

In the event that SSL experiences a significant business interruption, you may contact SSL to process limited trade-related transactions, cash disbursements, and security transfers. Instructions must be in writing and transmitted via facsimile at (212) 704-1171 or by postal service as follows:

Safra Securities LLC  
546 Fifth Avenue  
New York, NY 10036

For additional information about how to request funds and securities when SSL cannot be contacted due to a significant business interruption, please visit: [www.safra.com](http://www.safra.com) or call (212) 704-5500 for recorded instructions.