

VNTR Securities Business Continuity Plan

VNTR Securities LLC (the “Firm”) has created a Business Continuity Plan (BCP) that provides for the Firm to continue client service within a reasonable amount of time, given the scope and severity of a significant business disruption (SBD).

The BCP anticipates responding to both internal and external SBDs. An internal SBD, such as the loss of the telephone system, affects only the Firm. The Firm will respond to internal SBDs by re-routing calls to secondary numbers, and/or relocating its primary office to a secondary location, and/or, recovering data from a back-up storage media and/or a back-up site. The Firm expects to recover from an internal SBD within one hour.

An external SBD, such as a power outage or flood, affects multiple businesses and can be local, regional, national, or global. The Firm’s response to an external SBD relies more heavily on other organizations, such as product sponsors. The Firm expects to recover from an external SBD within six hours.

In the event a SBD prevents customers from contacting the Firm by using the Firm’s primary phone number, fax number, or email address, customers may contact the Firm by using the following secondary contact information:

Phone: 917-952-9879

e-mail: VNTRSecurities@gmail.com

While no contingency plan can eliminate all risk of service interruption or temporarily impeded account access, the Firm continually assesses and updates its BCP to mitigate all reasonable risk.

This disclosure is subject to modification. You may request a copy of the Firm’s full plan by contacting the Firm.