

## **Bloomberg Tradebook Business Continuity Plan Disclosure**

Bloomberg Tradebook has developed a Business Continuity Plan (“BCP”) on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan. This plan applies to the activities of Bloomberg Tradebook LLC; Bloomberg Tradebook Europe Limited; Bloomberg Tradebook Canada Company and Bloomberg Tradebook Bermuda Ltd.

**Contacting Us** – If after a significant business disruption (“SBD”) you cannot contact us as you usually do at +1 (212) 617-7070 (US), +44-20-7330-7099 (Europe) or +65-6212-9788 (Asia), you should call our alternative number +1 (212) 318-2000 (US).

### **Our BCP:**

Our BCP, given the scope and severity of the SBD, addresses the following: data back-up and recovery; mission critical systems; financial and operational assessments; alternative communications with clients, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our clients prompt access to their funds and securities if we are unable to continue our business.

Our third party clearing services firms have attested that they 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, our executing and clearing firms have advised us that their objective is to restore their operations and be able to complete existing transactions and accept new transactions and payments within 4 hours. Your orders and requests for funds and securities could be delayed during this period. In addition, our parent company, Bloomberg LP backs up our important records in a geographically separate area. Bloomberg Tradebook participates in a corporate-wide BCP of our parent company Bloomberg LP.

### **Varying Disruptions:**

SBDs can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are 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 our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within 4 hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within 24 hours. In either situation, we plan to continue in business. We will use all available means of communication to notify our clients.

If the SBD is so severe that it prevents us from remaining in business, we will assure our customer’s prompt access to their funds and securities.

**For more information** – If you have questions about our business continuity planning, you can contact John Byrne (646) 324-3178. These plans are subject to modification. As necessary, any updates will be made and posted to our website ([www.bloombertradebook.com](http://www.bloombertradebook.com)).