

BUSINESS CONTINUITY

Bloomberg Tradebook LLC's 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.

Contacting Us – If after a significant business disruption ("SBD") you cannot contact us as you usually do at (212) 617-7070 or 44-207-330-7099 (Europe) and 65-6212-9788 (Asia) you should call our alternative number (212) 318-2000. Alternatively, contact our clearing Brokers as follows:

U.S. Equities

Clearing Firm: Credit Agricole CIB (USA) Inc. at (212) 261-7000.

Global Equities

Clearing Firm: SetClear Pte, Ltd. at

(North America) email: Services@SetClear.com (866) 738-2531

(Europe) email: Services@SetClear.com (+44) 8412-8415-86

(Asia Pacific) email: Services@SetClear.com (+65) 6505-1111

For a full list of contact numbers go to TBDI <GO> on the Bloomberg Terminal.

Our BCP– We plan to quickly recover and resume business operations after a SBD and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our clients to transact business. In short, our BCP is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the SBD.

Our BCP addresses: 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 clearing firms Calyon Securities (USA) Inc. and SetClear Pte, Ltd attest 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 clearing firms have advised us that their objective is to restore their operations and be able to complete existing

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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 significant business disruption 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 at (212) 617-3917. These plans are subject to modification. As necessary, any updates will be made and posted to our website (www.bloombergtradebook.com).