



Client Focused Trading

Summary of CFT Securities Business Continuity Plan

CFT Securities, LLC has developed a business continuity plan based on how we will respond to events that significantly disrupt our business. Since the timing and potential impact of disasters and disruptions are 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 you cannot contact us as you normally do by either e-mail, telephone, or other means in which you normally communicate, please call our main office number 609-759-5214 for further information.

If you are unable to contact us by telephone, email or through our website, you should contact our clearing firm, National Financial Services (“NFS”) at 1-800-343-3548 or 1-800-544-6666 for liquidating orders, check and wire requests, and security transfers.

Our Business Continuity Plan – We plan to recover and resume business operations after a significant business disruption as promptly as practicable. We intend to safeguard our employees and property, make an overall financial and operational assessment, and seek to secure the firm's books and records with the intent of allowing our customers to transact business as promptly as possible. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back up 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 counterparty impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

In addition, our clearing firm, NFS, backs up important client 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, we have been advised by our clearing firm that its objective is to meet its existing obligations to its clients and customers even in the event of an emergency or significant business disruption. Your orders and requests for access to your funds and securities could be delayed during this period. For further information on the NFS Business Continuity Plan, please visit their website at:

https://nationalfinancial.fidelity.com/app/item/RD_13569_19417.html?pos=F

Varying Disruptions – Significant business disruptions can vary in their scope and may be limited to 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 another location when needed. In a disruption affecting our business district, city, or region, we will transfer our operations to a location outside of the affected area, and recover and resume business operations. In either situation, our goal is to recover and resume business operations as promptly as practicable. If the significant business disruption is so severe that it prevents us from remaining in business, we will seek to assure prompt access to your funds and securities held at NFS.

For more information – If you have questions about our business continuity planning, you can contact us at 609-759-5214 and a member of our staff will be happy to assist you.

Disclaimer – Our business continuity plan and this disclosure are intended to comply with the rules promulgated by the Financial Industry Regulatory Authority. While our business continuity plan is designed to address various circumstances that could result from a significant business disruption, such an event is, by its nature, unpredictable. Therefore, it is impossible to anticipate every scenario or circumstance that could cause a significant business disruption. In addition, we have no control over various entities, including our clearing firm and other service providers, upon which we will rely in the event of an emergency. Our business continuity plan is subject to change without notice. This disclosure will be updated promptly on our website to reflect any material changes to the information contained herein. The information contained in this disclosure is provided for informational purposes only.

Date: May 2018