

BUSINESS CONTINUITY PLAN SUMMARY

Arxis Securities LLC Business Continuity Planning

Arxis Securities LLC (the “Firm”) has developed a Business Continuity Plan (“BCP”) to ensure the Firm’s preparedness and adaptability in response to events that significantly disrupt our business operations. The Firm’s BCP provides for variations in our response to an actual event since the timing and impact of disasters and disruptions are unpredictable. Please keep that in mind as you review the below information summarizing the Firm’s BCP.

Contacting Us – Please contact our clearing firm, Broadcort, a division of Merrill Lynch, Pierce Fenner & Smith Incorporated (“Broadcort”) directly at 646-743-0110 if after a significant business disruption you are unable to reach an associated person of our Firm at our main number (646) 565-3300. Broadcort will provide you with instructions on how to promptly access your funds and/or securities, enter orders and process other trade-related, cash and security transfer transactions relating to your securities transactions.

Our Business Continuity Plan – The Firm plans to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting our Firm’s books and records, and allowing us 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 significant business disruption.

Our BCP addresses: data back-up and recovery; all mission critical systems; financial and operational assessments; alternative communications with our employees, regulators and counterparties; alternate physical location of employees; critical suppliers, contractors, bank and counterparty impact; and regulatory reporting; and assuring our counterparties prompt access to their funds and securities if we are unable to continue our business.

We backup and verify our electronic books and records on a daily basis and maintain these records in geographically separate locations.

Every emergency situation poses unique problems based on external factors, such as time of day, location and severity of the disruption.

In the event of an emergency situation preventing access to or resulting in the loss or destruction of, our main computer hardware system located in our Main Office in New York, New York, we currently anticipate that the duplication and rebuilding process will entail recovery and resumption time of approximately 2 business days. All information utilized by our Firm that is maintained and secured and archived by our vendors, will all remain intact and accessible as soon as computer hardware and Internet have been secured. In the event of an emergency situation which results in equipment failure at one of the Data Centers, redundant spare computing and networking equipment exists to maximize uptime. Should software failure occur at one of the Data Centers, our Firm remains able to recover the information contained on the servers from disk. In the event

of the loss or destruction of a server at one of the Data Centers, we estimate that it may take up to 2 business day to restore the information from that system. In the event of the loss or destruction of the Firm's email server, the Firm would have access to current and archived emails within 1 business day.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only affecting our Firm, a single building housing our Firm, the business district where our Firm is located, the city where our Firm is 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 our Firm, a building housing our Firm or a disruption affecting our business district, city, or region, we will transfer our operations to our homes until alternative arrangements can be made. We would expect to recover and resume business as soon as our affected communication systems are restored. We plan to continue in business, and notify you by telephone or other available communication means about how to contact us.

For more information – If you have questions about our business continuity planning, you can contact us at:

Patrick Chi
Chief Compliance Officer
623 Fifth Avenue, 21st Floor
New York, NY 10022
pchi@arxiscapital.com
Telephone No.: (646) 565-3338