



## **Bulltick, LLC<sup>1</sup>** **Business Continuity Plan Disclosure**

Bulltick has developed a Business Continuity Plan 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 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 usually do at **305-533-1541** or directly through your Bulltick registered representative, you should go to our website at [www.bulltick.com](http://www.bulltick.com) to access our Business Continuity Disclosure. If you cannot access us through either of those means, you should contact our clearing firm, Pershing, LLC (“Pershing”) at (201) 413-3635 or access the information located in the Business Continuity and Other Disclosures link on the Pershing website at [Business Continuity and Other Disclosures | Pershing<sup>2</sup>](https://www.pershing.com/us/en/disclosures.html) for instructions on how Pershing may process limited trade-related transactions, cash disbursements, and security transfers for your account(s).

**Our Business Continuity Plan** – We plan 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 the firm’s books and records, and allowing our customers to transact business. 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 backup and recovery; all mission critical systems; financial and operational assessments; alternate communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank, and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Pershing maintains a business continuity plan, which includes geographically dispersed data centers and processing facilities. 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 restore its own operations and be able to complete existing transactions and accept new transactions and payments within 4 hours or less, depending on the availability of external resources. Your orders and requests for funds and securities could be delayed during this period.

**Varying Disruptions** – Significant business disruptions can vary in scope, such as only our firm’s office, the city where we are located or the whole region. Within each of these areas, the severity of the

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<sup>1</sup> Bulltick, LLC is a Delaware limited liability company and a wholly owned subsidiary of Bulltick Capital Markets Holdings, LLC and is registered as a securities broker-dealer with the Securities and Exchange Commission (“SEC”), is a member of the Financial Industry Regulatory Authority (“FINRA”), Securities Investor Protections Corporation (“SIPC”) and the National Futures Association (“NFA”). The Company is also a member of the NASDAQ Stock Market.

<sup>2</sup> <https://www.pershing.com/us/en/disclosures.html>

disruption can also vary from minimal to severe. In the event of a significant business disruption, we have plans in place to move to a back-up location or remote location(s) as necessary. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our website [www.bulltick.com](http://www.bulltick.com) how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers prompt access to their funds and securities.

**For more information** – If you have questions about our business continuity planning, you can contact us at [compliance@bulltick.com](mailto:compliance@bulltick.com).