



## BUSINESS CONTINUITY PLAN

Lime Trading Corp. (the “Firm”) has developed a Business Continuity Plan (“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 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 usually do at 646-558-3232 or 855-274-4934, you should call out alternative number 855-274-4934 or contact the securities clearing firm holding your account (details below) for instructions on how to provide prompt access to funds and securities, execute orders and process other trade related, cash, and security transfer transactions.

For anything related to futures, please call our futures clearing firm, GAIN Capital Group, LLC at 800-920-5808. GAIN Capital located at Bedminster One, 135 US Highway 202/206, Suite 11, Bedminster NJ 07921.

**Our Business Continuity Plan** – We plan to recover as soon as practicable and resume business operations after a significant business disruption. The Firm will respond to a disruption 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 soon as practicable dependent on the scope and severity of the business disruption. Dependent on the severity and scope of the disruption, issues including but not limited to order entry, market data, execution speed etc. may be impacted, as the Firm may be operating on a best-efforts basis. Our business continuity plan addresses: data backup 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.

The Plan is designed to account for the actions the Firm will take in the event of disruptions of varying scope and severity. This includes incidents involving a single or multiple office buildings where any of the Firm’s offices may reside, citywide or regional events of disruption. It also includes information regarding staff unavailability, where staff members may be unable to work at their normal business location. The Firm leverages its remote work technology and



regional and out-of-region office locations to recover critical functions, data, and system applications including alternative manual procedures identified to enable continued functionality. The Plan has been reasonably designed to allow the Firm to continue its business, likely at a reduced capacity, and safeguard the interests of its clients.

Disruption of service at any of our service centers may result in call orders and electronic communications being rerouted to an alternative service center.

Our securities clearing firms, Axos Clearing LLC, Vision Financial Markets LLC, ABN AMRO Clearing Chicago LLC, Wedbush Securities Inc. and our futures clearing firm GAIN Capital Group LLC have the ability for real time back up capability of our 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, we have been advised by our clearing firms that their objective is to restore their own operations and be able to complete existing transactions and accept new transactions and payments as they occur. Your orders and requests for funds and securities could be delayed during this period.

**Varying Disruptions** – Significant business disruptions 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 plan to transfer our operations to a local site when needed and expect to recover and resume business within 24 hours. In a disruption affecting our business district, city, or region, we plan to transfer our operations to a site outside of the affected area and recover and resume business within 1 business day.

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. If the Securities Investor Protection (SIPC) determines that we are unable to meet our obligations to our customers or if our liabilities exceed our assets in violation of Securities Exchange Act Rule 15c3-1, SIPC may seek to appoint a trustee to disburse our assets to securities customers. We will assist the appointed trustee by providing our books and records identifying customer accounts subject to SIPC regulation. Securities Investor Protection Services 805 15<sup>th</sup> Street, NW, Suite 800 Washington DC 20005-2207 202-371-8300 <http://www.sipc.org/>.

Lime Trading Corp., Member FINRA & SIPC, NFA Securities Clearing Firm Contacts Axos Clearing LLC 1200 Landmark Center, Ste. 800 Omaha, NE 68102-1916 1-800-811-3487 <http://www.axosclearing.com>; ABN AMRO Clearing Chicago LLC 175 W. Jackson Blvd, Suite 2050 Chicago, IL 60604 1-312-604-8094 <https://abnamroclearing.com>; Vision Financial Markets



**LIME**  
TRADING

LLC 120 Long Ridge Road, 3 North Stamford, CT 06902 1-877-836-3949  
<http://www.vfmarkets.com/>; ; Wedbush Securities Inc. 1000 Wilshire Blvd Los Angeles, CA  
90017 1-213-688-660 <https://wedbush.com>

For further information, please contact your Lime Trading account representative. The recovery and business continuity plans of the Firm are subject to modification without notice. Updates will be posted to the Firm's websites and customers may request this information by contacting the number above. Lime Trading does not guarantee that for every event or business disruption: (i) such plans will be successfully implemented; or (ii) such plans, if implemented will be sufficient and appropriate to avoid, deter, or mitigate the event or business disruption. In addition, in that the Firm is dependent upon various infrastructures (e.g., transportation, telecommunications, exchanges, and industry utilities). Lime Trading's ability to implement its plans may be impacted by issues with these infrastructures.

Should you have any questions concerning our business continuity plan, you may submit a written request for additional information to our Customer Service Department at [cs@lime.co](mailto:cs@lime.co).