



## **Business Continuity Statement**

Lime Trading Corp. (“**Lime Trading**”) has developed a Business Continuity Plan on how it will respond to events that significantly disrupt Lime Trading’s business. Since the timing and impact of disasters and disruptions is unpredictable, Lime Trading will have to be flexible in responding to actual events as they occur. With that in mind, Lime Trading is providing you with this information on its business continuity plan.

**Contacting Lime Trading** – If, after a significant business disruption, you cannot contact Lime Trading at 646-558-3232 or 855-274-4934, you should call the 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 the futures clearing firm, Straits Financial Inc. 311 S. Wacker Drive, Suite 980, Chicago, IL 60606.

**Lime Trading’s Business Continuity Plan** – Lime Trading plans to quickly recover and resume business operations after a significant business disruption and respond by safeguarding its employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing its customers to transact business. In short, Lime Trading’s business continuity plan is designed to permit the firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Lime Trading’s 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 counter-party impact; regulatory reporting; and assuring its customers prompt access to their funds and securities if Lime Trading is unable to continue its business.

Lime Trading’s securities clearing firms, Axos Clearing LLC, Vision Financial Markets LLC, ABN AMRO Clearing USA LLC, Wedbush Securities Inc., Velocity Clearing LLC and its futures clearing firm, Straits Financial Inc., have the ability for real time back up capability of Lime Trading’s 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, Lime Trading has been advised by its 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. However, 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 Lime Trading, a single building housing the firm, the business district where the firm is located, the city where Lime Trading 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 only Lime Trading or a building housing the firm, Lime Trading plans to transfer our operations to a local site when needed and expects 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 Lime Trading from remaining in business, it will assure its customers prompt access to their funds and securities.

If the Securities Investor Protection Corporation (“**SIPC**”) determines that Lime Trading is unable to meet its obligations its customers or if its liabilities exceed its assets in violation of Securities Exchange Act Rule 15c3-1, SIPC may seek to appoint a trustee to disburse Lime Trading’s assets to its securities customers. Lime Trading will assist the appointed trustee by providing the firm’s books and records identifying customer accounts subject to SIPC regulation.

Securities Investor Protection Services 805 15th Street, NW, Suite 800 Washington DC 20005-2207 202-371- 8300 <http://www.sipc.org/>

**Securities Clearing Firm Contacts**

Velocity Clearing, LLC 1  
301 NJ-36, Suite 109  
Hazlet, NJ 07730  
[www.velocityclearing.io](http://www.velocityclearing.io)  
888-604-0156

Vision Financial Markets, LLC  
120 Long Ridge Rd #3  
North Stamford, CT 06902  
[www.vfmarkets.com](http://www.vfmarkets.com)  
203-388-2700

Axos Clearing LLC  
15950 West Dodge Road, Suite 300  
Omaha, NE 68118  
[www.axosclearing.com](http://www.axosclearing.com)  
402-384-6100

Wedbush Securities, Inc.  
1000 Wilshire Blvd.  
Los Angeles, CA 90017  
[www.wedbush.com](http://www.wedbush.com)  
213-688-6600

ABN AMRO Clearing USA LLC  
175 W Jackson Blvd Ste 2050  
Chicago, IL 60604  
<https://www.abnamro.com/clearing/>  
312-604-8000

Straits Financial, Inc.  
311 S. Wacker Drive, Ste 980  
Chicago, IL 60606



**LIME**  
TRADING

www.us.straitsfinancial.com  
312-462-4499

**For more information** – Should you have any questions concerning Lime Trading's business continuity plan, you may submit a written request for additional information to the Customer Service Department at [cs@lime.co](mailto:cs@lime.co).