



## **Business Continuity Plan Customer Notice**

Revision date: November 1, 2022

JonesTrading Institutional Services LLC (“JTIS”), JonesTrading International Limited (“JTIL”), and JonesTrading Canada Inc. (“JTC”), collectively “JonesTrading”, have developed a Business Continuity Plan on how JonesTrading will respond to events that significantly disrupt our business.<sup>1</sup> 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 a significant business interruption occurs, Jones Trading will swiftly notify our customer over JonesTrading Customer Business Continuity Information Line at 800.700.6160 or through our website [www.jonestrading.com](http://www.jonestrading.com). We will post information regarding the business disruption and our progress on the resumption of our business. All active orders will be canceled. The customers will be able to contact Jones Trading sales representative and might be directed to our clearing partners to confirm executed positions. For customers of JTIS and JTIL, all customer funds and securities are held by their clearing firms: BofA Securities, Inc. (“BofA”), Goldman, Sachs & Co (“GS”) and Pershing LLC (“Pershing”). In the event of a business disruption the customers can additionally refer to BofA’s website [www.ml.com](http://www.ml.com) or call 800.637.7455. JonesTrading prime services customers should refer to GS’s website [www.gs.com](http://www.gs.com) or call 212.357.2802 and to Pershing website [www.pershing.com/disclosures](http://www.pershing.com/disclosures) or call 201.413.3333. For customers of JTC, all customer funds and securities are held by JTC’s clearing firm, Fidelity Clearing Canada ULC (“FCC”). In the event of a business disruption, customers could additionally refer to FCC’s website <http://www.mybrokerageinfo.com> or call 888.943.5483. For customers of JTIS that trade options, the clearing is done by Dash Financial Technologies, LLC (“Dash”). In the event of a business disruption, the customers could additionally refer to Dash’s website <https://www.dashfinancial.com> or call 888.569.3270.

**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. Jones Trading continuously tests the plans key back-up functions and will be able to implement procedures quickly according to the plan. The firms bicoastal model allows for key personnel to step in quickly to back up critical functions in addition to these functions backed up via remote access.

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 counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firms, BofA, GS, Pershing, FCC and Dash, back up our important records in a geographically separate area. While every emergency 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 24 hours. 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 will transfer our operations to an alternative local site when needed and expect to recover and resume business within 24 hours. In a disruption affecting our business

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<sup>1</sup> FINRA Rule 4370



district, city, or region, we will transfer our operations to a site outside of the affected area and recover and resume business within 24 hours. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our website [www.jonestrading.com](http://www.jonestrading.com) or our customer emergency number, 800.700.6160 how to contact us. 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. **For more information** – If you have questions about our business continuity planning, you can contact us at 818.991.5500.