

MBS Source eTrading, Inc. – Business Continuity Plan (BCP)

MBS Source eTrading, Inc. (“MBSE”) policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees’ lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the firm’s books and records, and allowing its customers to transact business.

The BCP contemplates disruption of varying scope, including but not limited to, major technology and power outages, natural disasters, terrorism, and physical damage to offices or data center facilities.

MBSE recognizes that a successful response to a significant business disruption is based on an effective command, control and communications program. Our management team has the tools to quickly analyze disruptive situations and make appropriate decisions about:

- An alternative physical location for employees
- Customer access to funds and securities maintained at our clearing firm, AXOS Clearing, LLC. Address: 1200 Landmark Center, Suite 800, Omaha, NE 68102
- Phone: 402-384-6100 or 800-811-3487
- Website: www.axosclearing.com
- Data backup-up and recovery
- Financial and operational risk assessments
- Internal mission critical systems provided by us and through our clearing firm
- Alternate communications between MBSE and customers, employees, and regulators
- Critical business constituents, banks, and counterparties
- Regulatory reporting

MBSE will update this BCP whenever there is a material change to its operations, structure, business or location, or to those of its clearing firm.

MBSE’s BCP will be reviewed and modified, if necessary, at least annually, but no later than within 12 months of the date on which this BCP was put into effect or previously reviewed, to take into account any changes in MBSE’s operations, structure, business, or location, or those of its clearing firm.

Client Information

In the event of an emergency situation, clients may contact (206) 973-7352. Clients may also send an e-mail to compliance@mbssource.net.

A copy of the full Business Continuity Plan (BCP) is available upon request by sending an e-mail to compliance@mbssource.net.