



Success Trade Securities, Inc.

1900 L Street NW

Suite 525

Washington, DC 20036

Dear Client:

Success Trade Securities, Inc. (“Success Trade”) is a fully disclosed broker-dealer and member of the National Association of Securities Dealers, Inc., (“NASD”) that maintains your account.

NASD Rule 3510 requires each member firm to create and maintain a business continuity plan. In accordance with these rules Success Trade has developed a plan to ensure that business continues to run uninterrupted during business emergencies.

The plan is designed to address key areas of concern including but not limited to the following:

- Books and records recovery;
- All mission critical systems;
- Financial and operational assessments;
- Alternate means of communication between Success Trade and its customers;
- Alternate means of communication between Success Trade and its employees;
- Alternate physical locations of employees;
- Critical business constituent, bank and counter-party impact;
- Regulatory reporting;
- Communications with regulators; and
- How Success Trade will ensure that all customers have access to their funds and securities in the event Success Trade determines it is unable to continue its business.

Events creating a disruption of business may vary in nature. They could affect only Success Trade, affect the building where Success Trade located, affect the entire business district where Success Trade is located, result in a citywide disruption, or result in a regional disruption. Success Trade fully intends to continue to conduct its securities business during these periods of business disruption ranging from disruptions that only affect Success Trade to disruptions that have regional impact.

To address disruptions affecting Success Trade and the location(s) in which the firm conducts its business, arrangements have been made with organizations and facilities to supply a physical location as well as key technology infrastructure in an area that does not share power grids with the affected location, affording Success Trade the opportunity to relocate its key employees and critical information technology systems to provide services for its clients.

To address citywide and regional business disruptions, Success Trade has contracted with vendors to supply Success Trade alternate office space and access to critical technology in cities and regions that differ from the affected area. Success Trade intends to take advantage of this and employ the use of these facilities and affiliates which are located in other cities or regions of the country.

Please be advised that business continuity plans are subject to change and modification. Success Trade intends to update and test its business continuity plans as business conditions and technology change.

Should you have any questions concerning our business continuity plan, you may submit a written request for additional information to our Customer Service Department located at 1900 L Street NW Suite 525, Washington, DC 20036.