

OPTIONS_{AI}

Business Continuity Statement

Options AI Financial LLC (“us”, “our”, “we”) is committed to providing our customers with secure and reliable access to their accounts. As such and in accordance with FINRA rules and requirements, we have developed a Business Continuity Plan (“BCP”) to address response and recovery in the event of a significant business disruption such as a natural disaster, power outages, terrorism and other events.

Our BCP addresses all key requirements of our service, such as critical systems; data back-up and recovery; alternative communications with customers; processing orders and transactions; and alternative physical location of key employees. As an on-line broker-dealer, it also addresses the recovery of technology systems. In general, our technology systems are cloud-hosted and at separate locations. This design ensures that if one of our locations suffers a disruption in service, systems at an alternate location can be used to continue to provide service. In the event of a disruption, the BCP is designed to enable us to maintain critical business operations while under temporarily limited resources.

Our clearing firm, Apex Clearing Corp., has in place its own business continuity procedures. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, our clearing firm, will seek to restore its operations and be able to complete existing transactions and accept new transactions and payments within the shortest time period possible. However, it is possible that your orders and requests for funds and securities could be delayed during this period.

While Options AI strives to protect its customers and provide a robust uninterrupted service by continually assessing its requirements for business continuity, no BCP can eliminate all risk or potential delays resulting from an unplanned business interruption or disruption in service.

Any material updates to the BCP will be reflected in this Business Continuity Statement, which is current as of the last revision date, shown above.