

## External Statement

# Business Continuity and Contingency Planning

Securities industry regulations require that brokerage firms inform their clients of their plans to address the possibility of a business disruption that potentially results from power outages, natural disasters, or other events.

ABN AMRO Clearing USA LLC (“AAC-USA” or “Firm”) has a Business Continuity Management (“BCM”) program that is designed to mitigate the potential risk of a business disruption and provide a continuation of client service. In addition, AAC-USA has been recognized by ANSI-ASQ National Accreditation Board (“ANAB”) as International Standard Organization (“ISO”) 22301 certified. Achieving the ISO 22301 standard certifies that AAC-USA has necessary BCM controls in place to maintain the continuity of operations.

Some preventive measures that AAC-USA takes to be able to respond to a business disruption of varying magnitude include:

- AAC-USA operates data centers in multiple locations. In the event one data center is damaged in a disaster, the firm will move its processing to another data center.
- In addition to remote work capabilities, AAC-USA maintains a Business Contingency site (back-up office facility) which is on a separate power grid.
- Client access to funds and securities would be facilitated through the Business Contingency site. Calls to our main numbers (312) 604-8000 through 8799 would be rerouted to our Business Contingency site, if needed.

Various aspects of the BCM program are tested no less frequently than annually. Further, the BCM documentation are reviewed annually and updated as necessary.

Additionally, AAC-USA has implemented Business Continuity Plans at a departmental level. These plans outline the critical processes and applications specific to each department within the Firm, enabling the Firm to develop applicable recovery procedures for each critical process.

While no contingency plan can eliminate all risk of service interruption or temporarily impeded account access, we continually assess and update our plans to mitigate all reasonable risk.

This notice is provided to customers at account opening, available to clients upon request, and at our website: <http://www.abnamroclearing.com/>

(Disclosure Pursuant to FINRA Rule 4370(e))