

BUSINESS CONTINUITY PLAN SUMMARY

CCG Securities, LLC ("CCG") has developed and implemented a Business Continuity Plan ("BCP") that includes redundant data centers and alternate facilities to protect its business processes and technology environment in the event of a significant business disruption. CCG's policy is to respond to a significant business disruption (SBD) in an effort to safeguard employees' lives and firm property, make a financial and operational assessment, quickly recover and resume operations, protect the firm's books and records, and allow our customers to transact business.

The plan addresses business disruptions that may be caused by a local incident or by a regional or market related disaster that applies to many companies. The Plan covers our critical business processes and related employees essential for CCG to continue to conduct business for an interim or temporary period during a business interruption. Every important aspect of CCG's securities business, including data back up 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; and regulatory reporting is addressed in this plan.

CCG's goal is to recover its Critical Business Processes with minimal interruption, depending on the nature of the disruption. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within 4 hours. In the event of a larger scale external business disruption, we may or may not relocate our operations to an alternate site, but it is our goal to resume business activities as soon as practical given the specific circumstances surrounding the disruption.

Please be advised that our business continuity plan is subject to change and modification. Our firm will update this plan whenever we have a material change to our operations, structure, business, or location or to those of our clearing firm. In addition, our firm will review our plan annually to modify it for any changes. If the plan is modified, we will promptly post the revised summary on our Website (www.ccgbank.com). If you have questions about our business continuity planning or would like a written copy of the summary of our BCP, you can contact us at: 805-963-8200 (phone).