

## **PTI Securities & Futures L.P.**

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411 S. Wells St. Suite 900 Chicago, IL 60607

**Attn: PTI Securities & Futures Customers**

**Re: The PTI Securities & Futures Business Continuity Plan**

Industry regulations require that brokers provide its customers with a contingency business plan in case of a Significant Business Disruption (SBD).

Our plan is to respond to a Significant Business Disruption 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 our customers to transact business. In the event that we determine we are unable to continue our business, we will assure prompt access to funds and securities.

PTI Securities partners are actively involved in local and regional industry associations that would prove beneficial in the event of a SBD. These associations would provide alternative business site locations should PTI's offices become inaccessible.

Our plan anticipates two kinds of SBDs, internal and external. Internal SBDs affect only our firm's ability to communicate and do business, such as a fire or power outage in one of our facilities. External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a city flood, or a wide-scale regional disruption. Our response to an external SBD relies heavily on the availability of Mesirow Financial. Mesirow Financial is our clearing agent and custodian of all cash and security positions. RJ O'Brien is our primary clearing agent for futures and custodian of all cash and futures positions.

PTI's Business Continuity Plan will be reviewed at least annually.

Our firm has two offices. Other remote locations may serve as potential back-up locations should our primary offices experience a significant business disruption. Office locations and contact information has been provided below.

**411 S. Wells St.  
Suite 900  
Chicago, IL 60607  
312-663-3052**

**18275 N. 59<sup>th</sup> Ave.  
Suite B-110  
Glendale, AZ 85308  
602-928-1278**

Should a SBD occur and PTI cannot be contacted directly, the following communications links should be used:

- Phone orders: 1-800-248-7220
- Access to Funds and Securities: 1-800-552-2491 ext. 7007
- Access to Funds and Futures: 1-800-621-0757