

SpiderRock EXS' Business Continuity Plan: Disclosure (Appendix A)

SpiderRock EXS, LLC has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at 312-256-9600 or cs@spiderrock.net, you should call our alternative number 312-986-8710 or go to our website at <http://www.spiderrock.net>. If you cannot access us through either of those means, you should contact your clearing firm for instructions on how it may provide prompt access to funds and securities, enter or cancel orders or process other trade-related, cash and security transfer transactions for our customers.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup 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; regulatory reporting; and assuring our customers are informed if we are unable to continue our business.

The customer's clearing firm will back up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by the customer's clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 5 business days. Your orders and requests for funds and securities could be delayed during this period. Please refer to your respective clearing brokers SBD Policy for more information.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. 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 5 business days. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business as soon as possible. In either situation, we plan to continue in business, transfer operations to an available firm or location if necessary, and notify you through our website <http://www.spiderrock.net> or our customer emergency number, 312-256-9699. If the significant business disruption is so severe that it prevents us from remaining in business, we will provide our customer's prompt notice of the situation.

For more information – If you have questions about our business continuity planning, you can contact us at 312-256-9600 or cs@spiderrock.net