



## BUSINESS CONTINUITY PLAN DISCLOSURE

VT Brokers, LLC has developed a Business Continuity Plan (BCP) 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 BCP.

**Contacting Us** – In the event of a significant business disruption, customers may continue to contact us, as you usually do, at 415-293-3821 or by e-mail. General information messages concerning disruption will be available by calling this number.

**Our Business Continuity Plan** – We plan to quickly recover and resume business operations after a significant business disruption. Our business continuity plan is designed to permit our firm to resume operations as quickly as possible, depending on the scope and severity of the disruption.

Our clearing firm, Merrill Lynch Professional Clearing Corp., backs 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, our clearing firm has advised us that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 4 to 12 hours. Your orders and requests for funds and securities could be delayed during this period.

**Varying Disruptions** – Significant business disruptions can vary in their scope. In a disruption to only our firm or a building housing our firm, we will transfer our operations to an alternative local site when needed and expect to recover and resume business within one or one business day. In a disruption affecting our business district, city or region, we will transfer our operations to a site outside of the affected area and expect to recover and resume business operations within one or two business days. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our telephone number, 415-293-3821, on any changes in contacting us. As VT Brokers, LLC does not carry customer funds, even if the significant business disruption is so severe that it prevents us from remaining in business, we can assure our customer's prompt access to their funds and securities.

**For more information** – If you have questions about our business continuity planning, you can contact us at 415-293-3901 or e-mail [charles.hagner@vtradergroup.com](mailto:charles.hagner@vtradergroup.com).

March 2010

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Member of:

