



thinkorswim by TD Ameritrade Business Continuity Plan

In accordance with applicable regulations, TD Ameritrade, Inc. has developed a business continuity plan on how the firm will respond to events that significantly disrupt our business. Since the timing and impact of disasters and/or 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 866-839-1100 or one of our client email addresses, you should call our other number 773-435-3210 or go to our Web site at www.thinkorswim.com for further instruction. If you cannot access us through either of these means, you may log in to our trading software and utilize the Instant Messenger on this platform. If all else fails, you may visit our clearing firm Penson Financial Services Web site at online.penson.com for instructions on how they may assist you in gaining prompt access to your funds and securities, withdraw cash or securities, or monitor the transfer of funds and securities.

Business continuity plan – We plan to swiftly 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 clients 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. TD Ameritrade, Inc.’s business continuity plan addresses data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with clients, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our clients prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm, Penson Financial Services, Inc. as well as TD Ameritrade, Inc., 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, we have been advised by our 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 one business day. Your orders and requests for funds and securities could be delayed during this period.

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 one hour. 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 within four hours for most functions and one business day for complete resumption of service. In either situation, we plan to continue business, transferring operations to our clearing firm if necessary, and will notify you through our Web site at www.thinkorswim.com or our client emergency number, 773-435-3210 on how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our client’s prompt access to their funds and securities. Finally, keep in mind that due to the design of the trading system, access to account information and trading ability should not be affected except under extreme circumstances.

For more information – If you have questions about our business continuity plan, you can contact us at 866-839-1100 ext. 3256, or support@thinkorswim.com.

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