



Business Continuity Plan Customer Notice

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JonesTrading Institutional Services LLC (“JTIS”), JonesTrading International Limited (“JTIL”), and JonesTrading Canada Inc. (“JTC”), collectively together herein referred to as “JonesTrading”, have developed a Business Continuity Plan on how JonesTrading as a group of companies will respond to events that may significantly disrupt our business.¹ 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 a significant business interruption occurs, JonesTrading will swiftly notify our customer over JonesTrading Customer Business Continuity Information Line at 800.700.6160 or through our website www.jonestrading.com. Our firm will post information regarding the business disruption and progress on the resumption of business on our website or notify customers over email. Any active orders will be canceled. The customers will be able to contact Jones Trading sales representative and might be directed to our clearing partners to confirm positions. For customers of JTIS and JTIL, all customer funds and securities are held by their clearing firms: BofA Securities, Inc. (“BofA”), Goldman, Sachs & Co (“GS”) and Pershing LLC (“Pershing”). In the event of a business disruption the customers are encouraged to call JonesTrading Customer Business Continuity Information Line at 800.700.6160, but additionally may refer to BofA’s website www.ml.com or call 800.637.7455. JonesTrading prime services customers should refer to GS’s website www.gs.com or call 212.357.2802 and to Pershing website www.pershing.com/disclosures or call 201.413.3333. For customers of JTC, all customer funds and securities are held by JTC’s clearing firm, Fidelity Clearing Canada ULC (“FCC”) and refer to FCC’s website <http://www.mybrokerageinfo.com> or call 888.943.5483. For customers of JTIS that trade options, the clearing is done by Dash Financial Technologies, LLC (“Dash”). In the event of a business disruption, the customers could additionally refer to Dash’s website <https://www.dashfinancial.com> or call 888.569.3270.

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 safely and quickly as possible, given the scope and severity of the significant business disruption. JonesTrading continuously tests key back-up functions and will be able to implement procedures quickly. The firm intentionally staffs geographically to allow key personnel to quickly back up critical functions when needed.

Our Business Continuity Plan addresses data backup and recovery, mission critical systems, financial and operational assessments, alternative communications protocols, alternate physical location of employees, critical supplier, contractor, bank and counter-party impacts, regulatory reporting, and assuring our customers prompt access to funds and securities in the event the firm is not able to continue business.

Our clearing firms, BofA, GS, Pershing, FCC and Dash, back up our important records in redundant locations. While every emergency poses unique problems based on external factors, such as time of day and the severity of the disruption, it’s the main objective is to restore operations and be able to complete existing transactions and accept new transactions and payments as quickly and safely as possible. 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 an office of our firm, the business district where our firm is located, the city, or the whole region. 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 24 hours. In a disruption

¹ FINRA Rule 4370



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 24 hours. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our website www.jonestrading.com or our customer emergency number, 800.700.6160 how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to funds and securities within our control.

For more information – If you have questions about our business continuity planning or disaster recovery plans, you can contact us at 818.991.5500.