

## **Revolut Securities Inc.'s Business Continuity Planning**

Revolut Securities Inc. (**Revolut, Our, We, or Firm**) maintains 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, it is important for us to be flexible in responding to actual events as they occur. With that in mind, this document outlines our approach to our business continuity planning in response to such disruptive scenarios.

We have been mindful in developing response plans that address a number of different disruption scenarios, it is important to know that no amount of business continuity planning can fully eliminate disruption risks. We periodically assess the effectiveness of our business continuity plans in order to minimize the impact of disruptions to our customers.

**Contacting Us-** We may communicate the existence of a significant business disruption through various means. Information related to disruptive events are communicated through Revolut Securities Parent's social media accounts or through our platform if accessible (app and website). You can contact us through our website, the mobile application or [ustrading@revolut.com](mailto:ustrading@revolut.com). You may also contact our clearing firm, DriveWealth at 800-461-2680, [www.drivewealth.com](http://www.drivewealth.com) for instructions on how it may provide access to securities, enter orders and process other trade related transactions for your account.

**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 prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm, DriveWealth, 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 as soon 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 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 as soon as possible. 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 our clearing firm if necessary, and notify you through our website <https://www.revolut.com/en-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 their funds and securities.

**For more information** – If you have questions about our business continuity planning, you can contact us at 917-397-6533.