

Business Continuity Plan

Mariva Capital Markets, LLC ("MCM") has provisions in place to continue to operate and provide services to our customers in the event of a significant business disruption, whether on a firm only basis or city/regional basis. Within each of these areas, the severity of the disruption might vary from minimal to severe. MCM plans to quickly recover and resume business operation by safeguarding our employees and property, making financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business.

MCM's 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 locations of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if MCM is unable to continue business.

In the event of a disruption only at the firm's main office location, arrangements have been made to conduct services at alternate locations unaffected by the disruption. Recovery time in the event of a disruption is anticipated to be minimal, although certain records may have to be retrieved from an off-site storage location or possibly re-produced in order to continue services.

In a disruption affecting our business district, city or region, MCM's response will rely more heavily on other organizations and systems, especially on the capabilities of our clearing firm, Pershing LLC. In the event that MCM determines it is unable to continue its business, MCM will assure customers prompt access to their funds and securities.

In the event of a significant business disruption customers should contact the MCM's main office number at 305.712.6999 or contact our clearing firm, Pershing LLC 201.413.5368 or the number and address listed on your account statement for further instructions on how to process limited trade-related transactions, cash disbursements and security transfers. Your orders and request for cash and securities could be delayed during this period.

MCM's Business Continuity Plan is subject to modification at any time. A complete copy of the firm's business continuity plan or updated plan is available upon request.

If you have any questions about the Business Continuity Plan, please contact us at 305.712.6999, fax: 305.712.6920, or email: compliance@marivacm.com