

June 5, 2018

TFS ICAP LLC DISCLOSURES

TFS ICAP, LLC. Business Continuity Plan Summary and Disclosure Statement

TFS ICAP, LLC intends to offer service to customers as quickly and efficiently as possible after a business disruption event. Summarized below is our intended response to disruptions of various scopes:

- 1) **Disruptions to our office at 32 Old Slip, New York, the New York City Financial District or New York City outside the scope of usual phone / communications disruptions:** The Connecticut back up facility of TFS ICAP, LLC, will be activated. Customers will be contacted either by phone or electronic media such as e-mail or approved Instant Messaging services using back-up contact lists stored individually by the brokers or electronically by the IT Department. Alternatively, customers may contact TFS at (203) 351-9557 or via e-mail at equity@tradition.com. TFS should be able to provide service to customers using telephone and electronic medium, assuming OTC financial markets and / or exchanges and are unaffected by the disruption, between 24 and 48 hours of the disruption.
- 2) **Regional Disruption:** TFS ICAP, LLC will attempt to resume business as quickly as practical either at the TFS New York office or at the firm's back up facility in Stamford, CT. TFS will attempt to provide customers with status reports on www.traditionamericas.com. TFS should be able to provide service to customers using telephone and electronic medium from either of these sites, assuming OTC financial markets and / or exchanges and are operating, concurrently with the ending of the regional disruption.
- 3) **Summary of TFS Emergency Contact Information: Website:** www.traditionamericas.com **Phone #'s:** New York 1 (212) 943 8100, Stamford, CT back-up phone # 1 (203) 351 9557. **E-mail contact addresses:** equity@tradition.com, larry.rosenshein@tradition.com, david.merola@tradition.com .

PRIVACY

Your Privacy Is Important To TFS ICAP, LLC.

Privacy Statement

We are committed to protecting our customers' personal and financial information. In the course of providing you with financial products and services, we need to collect and maintain certain nonpublic personal information about you. This Privacy Statement answers some questions about what nonpublic personal information we collect, what we do with it, and how we protect it.

We do not sell your personal information to anyone.

We collect nonpublic information about you from the following sources:

- Information we receive from you on applications or other forms.
- Information about your transactions with TFS ICAP.

We do not disclose any nonpublic information about you or former customers to anyone other than affiliates, except as permitted or required by law. For example, this may include providing information to companies that perform support services on our behalf or to providing tax information to regulators or the IRS.

We restrict access to your nonpublic information to those employees who need to know that information to provide products or services to you.

We maintain physical, electronic, and procedural safeguards to protect nonpublic personal information.

Identity Verification for Anti – Money Laundering Purposes

We are required by Federal Law to verify the identity of each account owner. TFS ICAP, LLC may request that you provide various identification documents prior to opening an account.

NFA Information Center

The NFA Information Center number is (312) 781-1410, or toll free at (800) 621-3570. The NFA web site address is www.nfafutures.org . You may submit requests for publications to information@nfa.futures.org

Whom to Contact

All questions concerning activity in your account should be directed to the broker handling your account at TFS ICAP, LLC.

If however, you believe the transactions in your account are unauthorized or that instructions given by you were not followed, you should promptly contact the TFS ICAP compliance department at (212) 791-3497 / (212) 483-9838 or any government agency or any self-regulatory agency having jurisdiction over your account. The primary government agency is the United States Commodity Futures Trading Commission 202-418-5000 and our primary self-regulatory organization is the National Futures Association (800) 621-3570

If you require further information regarding our privacy policies and practices in the United States or any other information provided in this disclosure please contact:

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