

Information regarding our Business Continuity Plan

ICM Capital Markets, LLC ("ICM CM") has developed a Business Continuity Plan that details how we will respond to events that significantly disrupt our business. 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: After a significant business disruption you can contact us via our main number (917-342-2224). If you cannot access us through by phone, you should contact your ICM CM point of contact for instructions on how he or she may assist you.

Our Business Continuity Plan: We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our 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 representatives and third-party IT and electronic mail services back 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 advised our representatives that their objective is to restore their own operations and be able to assist their clients with any issues or questions. Your requests 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, or the whole region. Within each of these areas, the severities of the disruption can also vary from minimal to severe. In a disruption to only our firm or building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within one day. 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 one day. In either situation, we plan to continue in business and inform you as to how to contact us through notification through the website of our parent entity <https://humcapital.com> or via our main number (917)-342-2224. If the significant business disruption is so severe that it prevents us from remaining in business, we will ensure that we have means to advise you on how you may contact the issuers of your investments, as needed.

For more information: If you have questions about our business continuity planning, you can contact us at (917)-342-2224.

Last updated: February 10, 2023.