

Disclosure Statement

Loop Capital Markets, LLC Business Continuity Plan

Loop Capital Markets, LLC (hereafter ‘Loop’) has developed 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, 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 after a significant business disruption you cannot contact us as you usually do at 312.913.4900/ Information@loopcap.com, you should call our alternative number 212.619.2250 or go to our website at www.loopcap.com for instruction. In the event of an emergency, Loop has set up its Chicago and New York offices to act as the Disaster Recovery Site for the other. Our systems are programmed to redirect the phone lines. If you cannot access us through either of the foregoing means, you should contact our clearing firm, ADP Clearing and Outsourcing Services, at 888.836.6798 or go to the web site at www.adpcos.com for instructions on how it may provide prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions for your customers.

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 back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with on-line trading platforms, customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; which assures our clients prompt access to their funds and securities if there is an significant business disruption in one of our offices.

Our clearing firm, ADP Clearing and Outsourcing Services, backs up our important records in its own geographically dispersed facilities. 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. During events of short duration, there may be longer than usual service times but normal operational channels and modes of communication will continue to utilize to process your orders and requests for funds and securities.

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 our alternate office as outlined above and expect to recover and resume business within four (4) hours. In a disruption affecting our business district, city, or region, we will transfer our operations to our alternate office as listed above which is outside of the affected area, and recover and resume business within twenty-four (24) hours. In either situation, we plan to continue in business, transfer operations to our alternate office and notify you through our web site www.loopcap.com or our emergency number, as listed above. 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 Karen Riley at 312.913.2263, Karenr@loopcap.com.