



## Customer Disclosure Statement

### Luminex Trading & Analytics LLC

Luminex Trading & Analytics LLC plans to quickly recover and resume business operations after a significant business disruption (SBD) 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 company's business continuity plan (BCP) is designed to permit us to resume operations as quickly as possible, given the scope and severity of the SBD.

The BCP addresses: data back-up 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, National Financial Services LLC 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 within 8-24 hours. Your orders and requests for funds and securities could be delayed during this period.

**Significant Business Disruptions:** The Company's plan takes into account two kinds Significant Business Disruptions (SBDs), internal and external. Internal SBDs affect only the Company's ability to communicate and do business, such as a fire or loss of electrical power in the office or building.

External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a natural disaster, or another event that causes a wide-scale, regional disruption in essential services.

**Internal SBDs:** In the event of a disruption in the Company's business operations due to an internal SBD, the Company will attempt to continue to conduct business as usual by utilizing alternative communication methods (if available), such as the Internet, cell phones, etc., or by moving its operations to an alternative location. The Company has equipped all staff with the necessary resources to perform their job functions from home or other alternate location.

If personnel or operations must be moved to an alternate location, the Company anticipates that it will resume regular operations with 4 hours.

**External SBDs:** In the event of a disruption in the Company's business operations due to an external SBD, the Company has equipped all staff with the necessary resources to perform their essential job functions from home.

The Company will attempt to resume business within 24 hours and to keep its customers informed regarding relevant events to the best of its ability based on the circumstances.

In all cases, the Company will resume normal business operations as soon as it is able to do so, based on the type and the extent of the disrupting event.

If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers' prompt access to their funds and securities.

**Communications:** In the event you are unable to reach the Company at our main number (617-286-8080), please proceed as follows:

1. Contact the Company at the following alternate telephone numbers: 844-LUMINEX (844-586-4639) or 844-276-4222.
2. Access the Company's website at <https://luminextrading.com>.
3. Access the clearing firm for more information on contacting this entity and its business continuity plans:  
National Financial Services LLC at (617) 563-7000  
or online at <https://nationalfinancial.fidelity.com/app/home>.
4. Contact FINRA's Boston, MA office at the following telephone number for more information on the company's status and additional instructions: (617) 532-3400.

**Contact information:** Any questions regarding the Company's Business Continuity Plans should be addressed to: James Dolan, Luminex Chief Compliance Officer, 157 Seaport Blvd., Boston, MA 02210, (617) 286-8080.