



LUMINEX TRADING & ANALYTICS LLC  
BUSINESS CONTINUITY PLAN  
SUMMARY DISCLOSURE STATEMENT

Luminex Trading & Analytics LLC (the "Firm"), pursuant to Financial Industry Regulatory Authority, Inc. ("FINRA") rules, has created a Business Continuity Plan, to address and guide our response to and recovery from Significant Business Disruptions ("SBDs"). Copies of this Summary Disclosure Statement shall be given to all clients at the time they open their accounts with the Firm. The Firm's Business Continuity Plan is subject to modification and an updated summary will be promptly provided to our clients. Alternatively, clients may obtain updated summaries by requesting a written copy by mail or email.

In all of the following scenarios, the Firm plans to continue business and our planned recovery time, depending upon the time of occurrence, should not exceed 24 hours from the time of the declaration of the SBD. Staff, telephone calls, and e-mails will return to their original location upon full restoration of service.

**Disruption to the Firm's telephone or email service**

If the Firm's telephone or email services are not operational, the Firm will notify clients via a dedicated webmail account created exclusively for this purpose that clients may access their funds and securities by contacting National Financial Services LLC by phone at 617.563.7000 or online at <https://nationalfinancial.fidelity.com/app/home>.

**Disruption to the Firm's main office**

If a disruption occurs at our main office, the Firm has equipped appropriate staff with the necessary resources to perform their essential job functions from home.

**Disruption to a business district**

If a disruption occurs in our business district affecting our main office, the Firm has equipped appropriate staff with the necessary resources to perform their essential job functions from home and outside of the business district.

**City-wide business disruption**

a disruption occurs in our city-wide area that affects our main office located, the Firm has equipped appropriate staff with the necessary resources to perform their essential job functions from home and outside of the city -wide area.

**Regional disruption**

If a regional disruption occurs that affects our main office, the Firm has equipped appropriate staff with the necessary resources to perform their essential job functions from home. If the regional disruption is so broad as to encompass the areas where the Firm's employees live, preventing them from performing essential job functions from home, the Firm may have to close its operations until such time as the operations can be reopened and properly supported. If that is the case, the Firm will notify clients of how to access their funds and securities via a dedicated webmail account, as described above.

The Firm has also contracted with various entities to insure that sensitive information is made redundant at back-up facilities. However, due to the nature of such information we do not disclose the specific location of any back-up facilities, any proprietary information contained in our Business Continuity Plan, or the parties with whom we have backup arrangements. Please call us if you should have any questions at 844-LUMINEX (844-586-4639).

Thank you.

Luminex Trading & Analytics LLC