

Linden Thomas and Company Securities, LLC
Business Continuity Plan
Client Disclosure Statement

Linden Thomas and Company Securities, LLC 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 704-554-8150, you should call one of our alternative numbers: 704-332-0812; 704-332-5158; or if these are not available, you can send an e-mail to info@lindenthomas.com. If you cannot access us through either of those means, you should contact the clearing firm at 314-875-3000 for instructions on how you may obtain prompt access to your funds and securities, enter orders and process other trade-related, cash, and security transfer transactions. The Clearing Firm’s address and web site is: Wells Fargo Clearing Services, LLC; One North Jefferson Avenue; St. Louis, Missouri 63103; <https://www.wellsfargoclearingservicesllc.com/index.htm>.

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.

Wells Fargo Clearing 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 four hours. Your orders and requests for funds and securities 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, 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 a local site when needed and expect to recover and resume business within four to eight hours. 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 two business days. If the significant business disruption is so severe that it prevents us from remaining in business, we will work with our clearing firm and regulators to assure our customers prompt access to their funds and securities.

Response to a Pandemic – To the extent that a Company office is in an area where a Pandemic has been declared, if travel restrictions have not been imposed, the Managing Principal shall consider temporarily moving key personnel to an alternative location. If travel is restricted, seems ill advised, or is otherwise objected to, the company shall implement the Telecommuting Plan. Such shall be communicated to the employees via whatever channels are available.

Telecommuting Plan – The Company recognizes that during a period of heightened absenteeism, increased stress on telecommunications networks is expected. To the extent possible, the Company shall proactively confront the potential challenge of a stressed telecommunications network by having layers of telecommunications redundancy, including dedicated service, business and home networks, wireless cards and cell phones residing on multiple carriers.

For more information – If you have questions about our business continuity planning, you can contact us at 704-554-8150.

This plan is subject to modification, and customers may alternatively obtain updated summaries by requesting a written copy by mail.

Last Updated: February 2021