

**LINDEN THOMAS AND COMPANY SECURITIES, LLC**  
**LINDEN THOMAS ADVISORY SERVICES, 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.

*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 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.

During a significant business disruption, Linden Thomas will re-establish telephone service with our clients as soon as possible. Our clients should check our website at <http://www.lindenthomas.com> for our latest information.

As a client of Linden Thomas, we recognize you may need access to your account to sell a position or request a check before we re-establish telephone service. During this time, First Clearing, our clearing firm, will assist you with sell/liquidation orders and provide check disbursements if needed. The Clearing Firm's address and web site is: First Clearing; One North Jefferson Avenue; St. Louis, Missouri 63103; <https://www.wellsfargoclearingservicesllc.com/index.htm>. If our firm has declared an emergency and you cannot contact us, please call First Clearing for assistance at 877-496-3223.

*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.

1 First Clearing is a trade name used by Wells Fargo Clearing Services, LLC, Member SIPC, a registered broker-dealer and non-bank affiliate of Wells Fargo & Company.

*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: April 2018