

## **Ram Financial LLC Summary of Business Continuity Plan**

Ram Financial LLC, a FINRA-registered introducing broker-dealer, has developed a Business Continuity Plan reflecting how our firm will respond to events that significantly disrupt our securities business. Since the timing and impact of disasters and disruptions is unpredictable, we will need to be flexible in responding to 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 through our website or by email at [support@aries.com](mailto:support@aries.com), you should visit our website at <http://www.aries.com> for updates and instructions.

If you cannot access us through either of those means, you should contact our clearing firm, Apex Clearing Corporation, at (214) 765-1100 or at <http://www.apexfintechsolutions.com> for instructions on how to: receive prompt access to funds and securities, enter orders, and process other trade-related transactions.

### **Our Business Continuity Plan**

We plan to recover as quickly as possible and resume business operations after a significant business disruption. We intend to 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; mission critical systems; financial and operational assessments; alternate communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counterparty 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, Apex Clearing Corporation, 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 as quickly as possible. 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 impacting only our firm's office, the city where we are located, or the entire region. Within each of these areas, the severity of the disruption can also vary from minimal to severe.

In the event of a significant business disruption, we have plans in place to move to a backup location or enable remote operations as necessary. In either situation, we plan to continue our business and transfer operations to our clearing firm if necessary, and notify you through our website at [www.aries.com](http://www.aries.com) or through the Aries app.

If a 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 and the continued safe custody of such assets, to the extent provided under SIPC.

## **For More Information**

If you have questions about our business continuity planning, you can contact us at [aries@support.com](mailto:aries@support.com).

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