

APPENDIX A

TRIPPOINT GLOBAL EQUITIES, LLC BUSINESS CONTINUITY PLAN SUMMARY DISCLOSURE STATEMENT

TriPoint Global Equities, LLC (“TriPoint”), 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 TriPoint. TriPoint’s Business Continuity Plan is subject to modification. Clients may obtain updated summaries by requesting a written copy by mail or fax.

In all of the following scenarios, TriPoint 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 a single building or our Firm’s main office

If a disruption occurs at our main office located at 1450 Broadway, 26th FL, New York, NY 10018, we will move to an unaffected location. This location may be another of the firm’s offices or the home office of firm personnel.

Disruption to a business district

If a disruption occurs in our business district affecting our main office, we will move to an unaffected location. This location shall be outside the business district and may be another of the firm’s offices or the home office of firm personnel.

City-wide business disruption

If a disruption occurs in our city-wide area that affects our main office, we will move to an unaffected location. This location shall be outside the city-wide area and may be another of the firm’s offices or the home office of firm personnel.

Regional disruption

If a regional disruption occurs that affects our main office, we will move to an unaffected location. This location shall be outside the regional area and may be another of the firm’s offices or the home office of firm personnel.

TriPoint 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 back-up arrangements.

Please call us should you have any questions at (212) 732-7184.

Thank you.

Michael R. Boswell
President, COO and CCO
TriPoint Global Equities, LLC