



August 9, 2023

William O'Neil Securities ("the Firm") has established a business continuity plan ("BCP"). This plan incorporates multiple recovery strategies for our core line of business. The Firm regularly tests its recovery strategies in order to maintain optimal reliability and effectiveness. In the event of an unexpected disaster or emergency, every attempt will be made to restore and maintain normal service levels as soon as possible. In addition, a toll-free emergency response telephone number, 866.308.2911, provides you with up to date information on the Firm's status in emergency or disaster situations. Visit the Firm's website at <http://www.oneilsecurities.com> for ongoing updates regarding the Firm's business continuity planning.

The intent of the Firm's BCP is to protect the integrity of the Firm's business operations should it face a significant business disruption to its main office location. The Firm has a business continuity response team consisting of business and technology personnel to manage the recovery and continuity process.

Although components of the Firm's business resumption plan may vary based on the nature of each specific event, the Firm has identified three types of interruptions that could affect its normal business operations:

- **Systems interruptions.** To minimize the severity of systems interruptions, the Firm has instituted redundancies for its critical business systems. The Firm's network infrastructure has been designed to be highly fault tolerant. In the event that a system experiences a temporary outage, the applications are automatically transferred to the redundant component with minimal impact to your service.
- **Operations facility interruptions.** If there is a disaster at the Firm's primary office location, the Firm will make every effort to update its toll-free number and website with the current status of its business operations. In addition, the Firm will promptly notify its trading customers should their servicing of their needs be affected.
- **Telecommunication interruptions.** The Firm utilizes multiple telecommunications companies to create a redundant voice and data network, thereby minimizing the likelihood of a communications outage. Should an outage occur, the Firm would take reasonable action to implement alternatives to allow you to receive information in a timely manner.

The Firm has established an alternative physical location outside of its local region if the effects of a substantial business disruption make it necessary to continue business from a location away from its current location.

The Firm appreciates your business and looks forward to maintaining a long-term relationship with you and your company. If you have any questions relating to these matters, please send an email to finracompliance@oneilsecurities.com.

Sincerely,

Alexander Masotti

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General Counsel & Chief Compliance Officer

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