

First Tryon Securities

First Tryon Securities, LLC (“First Tryon”) has developed a Business Continuity Plan (“BCP”) documenting how we will respond to events that may 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. With that in mind, we are providing the following information with regards to our BCP.

First Tryon plans to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property. First Tryon will make a financial and operational assessment, protect our books and records, and allow our customers to transact business. The BCP accounts for a variety of interruptions and assesses the severity of a disruption to activate the necessary procedures.

First Tryon’s BCP addresses the following: data backup and recovery, mission critical systems, alternative communications with employees, customers and regulators, alternate physical location of employees, critical supplier, contractor, bank and counter-party impact, regulatory reporting and assuring customers prompt access to funds and securities. Modifications to the BCP will be made as warranted based on changing circumstances and needs.

First Tryon’s clearing firm Hilltop Securities maintains a BCP which includes geographically dispersed data centers and alternate processing facilities. The plan outlines the actions Hilltop will take in the event of a building, city, or regional incident. Hilltop’s recovery time objective for business resumption is four hours or less, depending upon the availability of external resources. Orders and requests for funds and securities could be delayed during this period.

Significant business disruptions can vary in their scope such as only our firm, a single building housing our firm, the city where we are located or the whole region. Within each of these areas the severity of the disruption can also vary. In a disruption to our firm or building housing our firm we will transfer operations to other local sites and expect to recover and resume business within one day. 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 five days. In either situation, we plan to continue business, transfer operations to our clearing firm if necessary and notify you through our website <https://firsttryonsecurities.com/> on how to contact us.

Contacting Us: In the event that First Tryon must implement its BCP, customers may contact us at 704-372-6118 or try our website <https://firsttryonsecurities.com/>. If you are unable to reach us, contact our clearing firm Hilltop Securities at 214-859-9100 or visit their website <https://www.hilltopsecurities.com/disclosures-overview/> for trade-related transactions, cash disbursements, and security transfer information.

Any revisions to this disclosure will be included on our website, <https://firsttryonsecurities.com/>.