



Business Continuity Plan Customer Disclosure

M1 Finance LLC has developed a Business Continuity Plan (the “BCP”) concerning how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our BCP.

CONTACTING US

M1 may communicate the existence of a significant business disruption through various means. Information related to disruptive events are published on our [Service Status page](#) and may also be communicated through M1 social media accounts on [Twitter](#), through our platform, or by email from our Customer Success Team. You can also contact us by emailing our Customer Success team at support@m1finance.com or by [submitting a request online](#).

If you cannot access us through the means above, you should contact our clearing firm, Apex Clearing Corporation’s [Support Team](#) for instructions on how to obtain prompt access to funds and securities, enter orders and process other trade related, cash, and security transfer transactions. You can also find other helpful information in [Apex Clearing Corporation’s Business Continuity Plan](#).

OUR BUSINESS CONTINUITY PLAN

We plan to attempt 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 BCP is designed to permit us to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

M1’s continuity plan includes alternate physical locations and preparedness, alternate means to communicate with customers, and data backup and recovery systems. Additionally, our clearing firm backs up your account records and stores them in a geographically remote locations. Nonetheless, your orders and requests for funds and securities could be delayed in the event of a significant business disruption.

VARYING DISRUPTIONS

Significant business disruptions can vary in their scope and in severity from minimal to severe. In either situation, we plan to attempt to continue in business, transfer operations to our clearing firm if necessary, and notify you through various means as stated above. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer’s prompt access to their funds and securities.

FOR MORE INFORMATION

If you have any questions about our business continuity plan, you can contact us at support@m1finance.com.