

PO Box 2209 • Omaha, NE 68103-2209

In case of any discrepancy between the English and Chinese version of this statement, the English version shall prevail.

Securities industry regulations require that brokerage firms inform their clients of their plans to address the possibility of a business disruption that potentially results from key types of scenarios: loss of technology, loss of workplace, loss of personnel or other events. TD Ameritrade has a comprehensive business continuity program in place, which is reviewed, updated and tested on a regular basis. The program is intended to maintain business operations such as processing client orders and transactions, providing access to cash and securities, and providing access to information about balances and transactions in client accounts.

Examples of how TD Ameritrade's plan addresses disruptions of varying scope and magnitude include:

- Disruption of service at any of our service centers may result in calls, orders, and electronic communications being rerouted to an alternative service center located in a different region of the country with a separate power grid and transportation system.
- In the event of a public health crisis that resulted in a high rate of employee absenteeism, TD Ameritrade's plan focuses available personnel on critical business functions that directly support client needs and financial markets. Additionally, we may enact our conditional work from home and/or workforce continuity plan, which includes social distancing and other policies to limit exposure.
- A significant disruption in our primary data center may result in the recovery of systems at an alternate data center. Our data centers are each supported by backup power generators and are located in different regions of the country with different power grids and transportation networks.

While no contingency plan can eliminate all risk of service interruption or temporarily impeded account access, we continually assess and update our plans to mitigate all reasonable risk. Any modifications to our plan will be reflected in this Business Continuity Plan Statement, which will be posted on our website, or you may obtain a current version of this Statement by writing us at TD Ameritrade, Inc., Compliance Department, P.O. Box 2148, Omaha, NE 68103-2148.

若本聲明的英文與中文版本內容有任何差異，以英文版本為準。

證券行業法規要求經紀公司將其計劃告知客戶，以處理可能因以下關鍵類型場景而導致業務中斷的可能性：技術故障、工作場所缺失、人員流失或其他事件。德美利證券制定了全面的業務連續性計劃，並定期對其進行審查、更新和測試。該計劃旨在維護業務運作，例如處理客戶訂單和交易，提供對現金和證券的訪問以及提供客戶帳戶中餘額和交易信息的訪問。

德美利證券計劃如何處理不同範圍和程度中斷的實例包括：

- 發生在我們任何一個服務中心的服務中斷都會導致電話、訂單和電子通訊被轉到位於國內不同地區的替代服務中心，他們具有單獨的電網和運輸系統。
- 發生公共健康危機而導致較高的員工曠工率，則德美利證券計劃將可用人員集中在直接支持客戶需求和金融市場的關鍵業務職能上。此外，我們可能制定條件性在家辦公和/或員工連續性計劃，其中包括社會隔離和其他政策以限制人員之間的接觸。
- 發生在我們主要數據中心的嚴重中斷會導致系統轉換至備用數據中心的。我們的數據中心分別由備用發電機提供支持，且位於國內不同的地區，並且擁有不同的電網和運輸網絡。

雖然沒有任何應急計劃可以完全消除服務中斷或暫時賬戶訪問阻礙的風險，但我們會不斷評估並更新我們的計劃以降低所有合理風險。關於我們計劃的任何修改都將呈現在本業務連續性計劃聲明中，並將在我們的網站上發佈，或者您也可以通過寫信至 TD Ameritrade, Inc., Compliance Department, P.O. Box 2148, Omaha, NE 68103-2148 索取此聲明的最新版本。

Investment Products:
Not FDIC Insured * No Bank Guarantee * May Lose Value

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非FDIC保險 * 非銀行保證 * 可能損失價值

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