State Street Global Markets, LLC

State Street Global Markets, LLC Business Continuity Plan Disclosure

State Street Global Markets, LLC ("SSGM, LLC") is committed to providing reliable access to client services and maintaining critical business operations in the event of a significant business disruption. A significant business disruption may result from events such as natural disasters, power outages, systems failures, terrorism, pandemics, or other unforeseen events.

SSGM, LLC has developed and maintains a comprehensive **Business Continuity Plan (BCP)** designed to address disruptions that may affect a single office, a business district, a city, or an entire region. The plan is reviewed and updated regularly to ensure it remains effective and aligned with regulatory expectations. Ongoing testing and assessment are conducted to help ensure the Firm's preparedness for a range of disruption scenarios.

SSGM, LLC operates under a firmwide continuity framework supported by State Street's Enterprise Continuity and Disaster Recovery programs. The Firm has implemented multiple recovery strategies, including the use of alternate work locations, work-from-home capabilities, split operations, and workload transfers, depending on the nature and severity of the disruption.

Critical systems and data are supported by geographically diverse data centers with established disaster recovery capabilities. These systems are designed to enable timely recovery of essential services in line with documented recovery time objectives.

SSGM, LLC does not maintain custody of customer funds or securities. In the event of a significant disruption, registered representatives will take reasonable steps to assist clients and coordinate with the Firm's clearing relationships to help customers access funds and securities as promptly as possible.

During a significant business disruption, SSGM, LLC will communicate with employees, clients, business partners, and regulators using available methods, which may include telephone, email, SMS messaging, and other electronic communications. The Firm utilizes notification and escalation tools to support timely communication during and after an incident.

SSGM, LLC is registered with and regulated by the Securities and Exchange Commission (SEC) and the Financial Industry Regulatory Authority (FINRA), and is a member of additional regulatory and clearing organizations. In the event of a disruption, the Firm will coordinate with regulators consistent with established regulatory communication procedures and will continue to meet filing and reporting obligations to the extent practicable.

Certain activity is introduced to our clearing firm, Apex Clearing Corporation (“Apex”). Apex backs up necessary records in separate locations. Apex maintains plans that include alternative physical locations; alternative means to communicate with customers; backup telecommunications, systems, and data; and employee safety programs. You can find helpful information about Apex Clearing Corporation's Emergency Policies at https://apexfintechsolutions.com/legal/disclosures/apex-clearing-business-continuity-plan/.

If after a significant business disruption, you cannot contact us as you usually do through our web site www.statestreet.com/wealthservices or by phone at 1.833.291.1030, email us at ssws_service@statestreet.com.

Clients may request further information about the Firm’s business continuity planning by writing to call us at 1.833.291.1030.

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