



## **FINRA Rule 4370(e) - Notice of Business Continuity Preparedness**

Citigroup Global Markets Inc., a registered broker dealer, and its registered broker-dealer affiliate Citicorp Securities Services Inc. (together "Citi") is committed to providing uninterrupted service and support to clients. Citi recognizes that certain uncontrollable events can cause varying degrees of disruption to normal business processes. For example, a severe storm can adversely affect the ability of staff to report to work on a given day. Events of greater severity, such as a regional electrical blackout or an intentionally destructive act, could cause wider concern and disruption. Citi and Citigroup affiliates recognize the responsibility to customers to continue critical operations during such events, including providing access to funds and securities. Citi's goal is to meet this obligation with minimal interruption — on the same day, if possible — given the circumstances and scope of any disruptive event.

Citi would like clients and potential clients to be aware that Citi has developed and maintains written business continuity plans we believe not only provide effective responses to a wide variety of disruptive events, but better enable Citi to continue critical operations during a business disruption.

What does Citi's business continuity plan address? Citi's business continuity plan provides for continuity of critical operations and other activities during a variety of disruptions. They include client support responses such as conducting operations from alternate sites in different locations, if necessary, operating across multiple power grids or operating with self-generating facilities while maintaining Citi's presence in the marketplace and servicing client accounts. These plans are designed to enable Citi to continue critical operations whether the disruption is firm-wide or city-wide, affecting an entire business, district, region or a single building.

Citi believes it is important that clients remain confident in our commitment and ability to provide ongoing services and uninterrupted access to funds and securities in the event of a business disruption. To maintain effective and secure plans, they are kept confidential and thus specific details are not in this notice.

In addition, Citi is committed to maintaining effective communications with clients during a business disruption. General information for Citi and Citigroup affiliates may be obtained by visiting Citigroup website at [www.citigroup.com](http://www.citigroup.com).

Citi's business continuity plans are reviewed and tested to ensure appropriate enhancements are implemented as technology improves, business plans evolve, or regulatory requirements change. Senior management has designated a corporate head of business continuity and Citi's plans and supporting documents are subject to review by both internal and external auditors as well as examination by industry regulators. Should material changes to the plans occur, this "Notice of Business Continuity Preparedness" will be updated as appropriate. This notice may be modified at any time with such modifications becoming effective upon posting to the Citigroup website. You may obtain a current copy of this notice by contacting your sales representative or relationship manager, or by accessing Citi's corporate Internet site at <http://icg.citi.com>.