

Public**SCSNA Disclosures 2025****1. Business Continuity Plan**

Standard Chartered Securities North America LLC (“SCSNA”) has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disaster and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting us – If after a significant business interruption, you cannot contact us as you normally do at 212-667-0702, you should call our alternative number 201-706-5000.

In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption. We plan to quickly recover and resume business operations after a significant 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.

Our business continuity plan addresses: data backup and recovery; all mission critical systems’ financial and operational assessments, alternative communications with customers, employees, and regulators, alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business, Standard Chartered Bank backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, it is our objective to restore operations and be able to complete existing transactions and accept new transactions and payments. Your orders and requests for funds and securities could be delayed during this period.

Varying disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruptions can also vary from minimal to severe. In a disruption at only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume businesses within 24-48 hours. 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 4 hours. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and make ourselves available through our customer emergency numbers. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers’ prompt access to their funds and securities.

For more information- If you have questions about our business continuity planning, you can contact our CCO, Jacinta Paulic at 415-218-1576 or at Jacinta.Paulic@sc.com or Nick Cannizzaro- Head of Business Continuity at 201-706-5557 or at Nick.cannizzaro@sc.com.

2. Complaints

SCSNA treats customer complaints seriously and encourage any customers to contact our Chief Compliance Officer directly should they feel that we have not satisfactorily executed a transaction or service. Further, we have established policies and procedures designed to comply with FINRA regulations dealing with customer complaints. Please contact our CCO, Jacinta Paulic at 415-218-1576 or at Jacinta.Paulic@sc.com, should you have any complaints. Standard Chartered Securities North America LLC. 1095 Avenue of the Americas New York, NY 10036 Tel (212) 667-0702

3. Notification for Clients Domiciled in Canada

Please note that for securities transactions with clients domiciled in Canada, SCSNA, and certain other overseas affiliates will rely on the International Dealer Exemption pursuant to NI 31-103 in Canada. Also please note that:

- Neither SCSNA, nor any of its foreign affiliates are registered in Canada; and
- There may be difficulty enforcing legal rights against SCSNA and its foreign affiliates because they are resident outside of Canada and all or substantially all of its assets may be situated outside of Canada. The name and address of our Canadian agent for service of process is:

152928 Canada Inc. c/o Stikeman Elliot LLP

5300 Commerce Court West, 199 Bay Street

Toronto, Ontario M5L 1B9

Attention: President

T: (416) 869-5500

F: (416) 947-0866

4. SIPC Membership & Notification

All customers are advised that information about SIPC, including the SIPC brochure, may be obtained by contacting SIPC. SIPC may be contacted by phone, email or regular mail:

Securities Investor Protection Corporation

805 15th Street N.W. Suite 800

Washington, D.C. 20005-2215

Tel: (202) 371-8300

Fax: (202) 371-6728

Email: asksipc@sipc.org

For more detailed information please visit the SIPC website at www.sipc.org.

Please note that SCSNA acts as agent for the purposes of arranging, booking, and confirming transactions between you and our non-US affiliates. Our non-US affiliates act as principal to transactions in accordance with SEC Rule 15a-6. SCSNA is a member of the Securities Investors Protection Corporation (“SIPC”) and the Financial Industry Regulatory Authority (“FINRA”); its non-US affiliates are not.

5. FINRA Notification

FINRA’s public disclosure program toll free hotline number is (800) 289-9999 and FINRA’s website address is www.finra.org.

6. Contingent Convertibles or Write Down Instruments

Please refer to this link (One Way CoCo Letter) or notice of restrictions on contingent convertible or write down instruments.