



Business Continuity Plan (BCP) Disclosure

In the event of a Significant Business Disruption (SBD), CION Securities, LLC, (CION) will evaluate the situation and take the appropriate steps necessary to continue business operations. Since the timing and impact of SBDs are unpredictable, CION will be flexible in responding to actual events as they occur. CION's Business Continuity Plan is designed to permit us to resume operations as quickly as possible by safeguarding employees and property. Significant business disruptions can vary in scope, such as CION only, a single building housing CION, the business district where CION is located, the city where CION is located, or the whole region. Within each of these areas, the severity of the disruption can also vary. CION anticipates that the recovery time from a minor business disruption would take no longer than a few business days and that recovery from a severe business disruption may take a week or longer before CION can resume its operations, although actual times will vary. Our Business Continuity Plan (BCP) covers areas related to data back-up and recovery, systems critical to our operations, financial and operational assessments, alternate forms of communication with customers, members, employees, regulators, and other critical contacts, alternate physical location for continued operations, regulatory reporting, and prompt accessibility to customer funds and/or securities to the extent applicable to CION. CION has established back-up off-site facilities for the storage of critical records. Contact information for CION includes: the New York Office (212) 418.7000 and our website at www.cioninvestments.com