



NatWest

NatWest Markets Securities Inc.

Business Continuity Planning Disclosure

As Required by Financial Industry Regulatory Authority (FINRA) Rule 4370

NatWest Markets Securities Inc. (“NWMSI” or the “Company”) is a subsidiary of NatWest Markets Plc and a registered broker-dealer. It is a FINRA and SIPC member that conducts securities business with global corporate, institutional counterparties and government sponsored entities. In line with the Natwest Group Operational Resilience Framework, NWMSI maintains a Business Continuity Plan (“BCP”), detailing how business continuity will be ensured during an emergency or significant disruption to the Company’s normal course of business, including building, staff, critical IT systems or service provider unavailability. The BCP complies with FINRA Rule 4370 and provides the necessary directions and contingency measures for the safety of the Company’s employees and the resumption of trading, sales, and capital markets businesses, with minimal disruption and risk.

NWM US’s BCP addresses a variety of business interruption scenarios ranging from a building specific event to a wider area disruption. The BCP objective is that the firm be in a position to resume business within four hours. This is accomplished through:

- Maintenance of a resilient infrastructure at the Company’s primary (people and data center) site, including an alternate workspace, generators, redundant power utility feeds, multiple telecommunications and data providers with multiple separate access points to the building to support all mission critical systems and applications;
- Use of multiple production ready data centers which are geographically dispersed;
- A hybrid work model where all employees have the ability to work from the primary office, dedicated staff backup site or remotely from home;
- Ability to transfer some business activity to other locations throughout the corporate global footprint;
- Alternative means of communications to customers, regulators and banks;
- Automated emergency communication service/call tree;
- Pre-defined responsibilities and plans outlining the key business functions;
- Dedicated resiliency staff, and
- A regular testing regimen.

The BCP framework is overseen by the Head of Business Resilience in the US who, along with the dedicated business resiliency team, is responsible for coordinating, assessing, developing, and communicating recovery environment requirements and contingency plans and protecting the Company in the event that facilities or technology resources are unavailable due to an unforeseen disruption. The Company regularly reviews the nature of its businesses and activities and modifies the BCP to incorporate any material changes to its operations, structure, business, key personnel, or locations, including prompt updates to all emergency contact information. The BCP is subject to an annual review to determine whether modifications are necessary to address any such changes and tested annually, at a minimum, through

business unit and disaster recovery testing. The Company participates in industry-wide planning and testing to ensure that its regular operations and BCP procedures are consistent with industry requirements and best practices.

The Company requires that all third-party suppliers and affiliates, assessed with a high inherent risk, maintain their own business continuity plans, enabling them to continue to operate and supply the Company with contracted services or products during a significant disruption. The Company conducts on-going assurance reviews to ensure that supplier resilience meets the Company's own resilience standards.

Any modifications or updates to the Company's BCP will be made available at www.natwest.us/about-us/board-and-governance/natwest-markets-securities-inc.html.

For additional information regarding the Company's business continuity and disaster recovery procedures, please contact the NWM US BCM Team at Businesscontinuitynorthamerica@natwestmarkets.com