



NatWest

NatWest Markets Securities Inc.

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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. NWMSI operates with NatWest Markets Plc and other affiliates in the US (together, “NWM US”). In line with the Natwest Group Operational Resilience Framework, NWM US 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.

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.

NWM US’s BCP addresses a broad range of disruption scenarios, including natural disasters, cyber-attacks, pandemics, and operational failures. Detailed procedures for each scenario are provided in subsequent sections. The primary objectives of the US BCP are to safeguard employee safety, protect critical assets, and ensure rapid continuity of operations during significant disruptions. The plan is designed to enable NatWest US to resume critical functions within defined Recovery Time Objectives (RTOs). 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 US Business Resilience (BR) Framework is supported by all areas of Technology, is overseen by the US Management Committee and the NWMSI Board of Directors and receives its mandate for planning and execution from the NatWest Group (NWG) Service Delivery & Operational Resilience Team. The US BCP procedures are consistent with NWG's Operational Resilience Framework. The BR framework is overseen by the Head of Business Resilience in the US who is responsible for providing leadership in coordinating, assessing, developing, and communicating recovery environment requirements and contingency plans associated with the company's Business Units and to protect the firm in the event that facilities or technology resources are unavailable due to an unforeseen disruption. Each Business Unit has designated individuals (Continuity Plan Administrators - CP Admins) who are responsible for execution of the Operational Resilience Framework including maintenance of individual Business Unit plans and testing thereof.

Markets US also engages third party suppliers (including affiliates) to provide certain services. The US BCP addresses reliance on critical third parties, including clearing firms and IT vendors. In the event of a disruption, contingency measures and alternative arrangements are captured in the Business Unit BIAs. These measures are reviewed annually to ensure external resiliency.

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