



**MAX**INTERNATIONAL  
BROKER | DEALER CORP.

## Business Continuity Plan

*Dear Investor:*

*Max International Broker Dealer Corp. (MAXI) is a fully disclosed broker-dealer and member of FINRA. Your assets are also maintained with First Southwest Company (FSC). NYSE Rule 446 and FINRA Rule 3510 require each member firm to create and maintain a business continuity plan. In accordance with these rules MAX has developed a plan to ensure that business continues to run uninterrupted during business emergencies.*

The plan is designed to address key areas of concern including but not limited to the following:

- Books and records recovery;
- All mission critical systems;
- Financial and operational assessments;
- Alternate means of communication between MAX and its customers;
- Alternate means of communication between MAX and its employees;
- Alternate physical locations of employees;
- Critical business constituent, bank and counter-party impact;
- Regulatory reporting;
- Communications with regulators; and
- How MAX will ensure that customers have access to their funds and securities in the event MAX determines it is unable to continue its business.

Events creating a disruption of business may vary in nature. They could affect only MAX, affect the building where MAX is located, affect the entire business district where MAX is located, result in a citywide disruption, or result in a regional disruption. MAX fully intends to continue to conduct a securities business during these periods of business disruption ranging from disruptions that only affect MAX to disruptions that have regional impact.

To address disruptions affecting only MAX, the building where MAX is located or the business district where MAX conducts business, MAX has arranged with an outside organization to supply a physical location as well as key technology infrastructure in an area that does not share any power grids with the current location and will afford MAX the opportunity to relocate its key employees and critical information technology systems in order to provide services for its clients.

To address citywide and regional business disruptions, MAX has contracted with a vendor to supply MAX alternate office space and key information technologies in cities and regions that differ from MAX's locations. MAX intends to take advantage of this and also use the facilities of affiliates that may be located in other cities or regions of the country.

Please be advised that business continuity plans are subject to change and modification. MAX intends to update and test its business continuity plans as business conditions and technology change. All changes will be posted to MAX's Website located at [www.maxibd.com](http://www.maxibd.com). Should you have any questions concerning the business continuity plan please submit a written request for additional information to your broker.