



## **AIO Capital, LLC Business Continuity Plan Statement**

AIO Capital, LLC (“Company”) is committed to providing our clients with secure and reliable access to their accounts. This commitment includes providing information regarding plans to address disruptions in our business operations due to power outages, natural disasters, or other significant and/or unexpected events. In the event of a disruption, the Company has a Business Continuity Plan that is intended to permit the firm to maintain business operations such as processing client orders and transactions, providing access to cash and securities through our clearing firms (FCMs), and providing access to information about balances and transactions in client accounts.

Examples of how the Company’s plan address disruptions of varying scope and magnitude include:

- Disruption of service at our main office or any branch offices if applicable, will result in notifications of said disruption to our clients via one or more of the following methods: website notice, phone recording notice, email notice, etc. We will work with our clearing firms (FCMs), order routing firms, and service providers in order to reroute calls, orders, and electronic communications to an alternative location.
- A significant disruption in our primary office will result in a transition to systems at an alternative location. During a significant business disruption, if you cannot access our Company by phone at 312-300-4070, by email at [trade@aioicap.com](mailto:trade@aioicap.com), or by our website at [www.aioicap.com](http://www.aioicap.com), or if you’re unable to access and make trades for your account, you should contact our clearing firm(s) (FCMs) where your account(s) is held.

### **Gain Capital**

Customer Service: 1-800-920-5808 x.4  
Website: [www.gainfutures.com](http://www.gainfutures.com)

### **RJ O’Brien & Associates**

Customer Service: 1-800-367-7290  
Website: [www.rjobrien.com](http://www.rjobrien.com)

### **Wedbush Futures**

Customer Service: 312-786-1930  
Website: [www.wedbushfutures.com](http://www.wedbushfutures.com)

Although the Company has taken significant steps to develop and implement sound business recovery practices, after a significant business disruption, clients may still experience service disruptions, or reduced services or access as the Company recovers. We continually assess, update, and test our plans to ensure that the Company plans are robust and are consistent with many of the best practices in the industry.

If you have any questions, comments, or concerns, please contact us by phone at **312-300-4070**, by email at [trade@aioicap.com](mailto:trade@aioicap.com), or write to us at:

AIO Capital, LLC, 230 West Monroe Street, Suite 845, Chicago, IL 60606.