

Tradeweb Direct LLC – Regulatory Notifications to Customers

Tradeweb Direct LLC is a broker dealer registered with the Securities Exchange Commission and a member of the Financial Industry Regulatory Authority and Municipal Securities Rulemaking Board. Tradeweb Direct LLC is a subsidiary of Tradeweb Markets LLC (“Tradeweb”). If you have any questions regarding these notifications please contact the Compliance Department of Tradeweb Direct LLC at (646) 560-7326.

USA Patriot ACT Notification

In compliance with the USA Patriot Act, Tradeweb Direct LLC is required to provide each new customer with the following notification:

- **To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.**
- **What this means for you: When you open an account, we will ask for your name, address, Taxpayer Identification Number or other identifying documents in order to allow Tradeweb Direct LLC to identify you."**

Business Continuity Plan Statement

Tradeweb maintains a Business Continuity Plan including redundant networks, hardware, data centers and alternate operational facilities to address interruptions to its normal course of business. These plans are reviewed periodically and updated as necessary. The plans outline the actions Tradeweb will take in the event of significant business interruptions including relocating technology and operational personnel to pre-assigned alternate facilities. Data is replicated in real-time and mission critical systems can be switched to alternate data centers if required. Tradeweb alternate operational facilities are equipped for continuation and resumption of business and settlement responsibilities, and are used and tested in an ongoing basis.

Tradeweb recovery time objectives for business resumption, including those involving a relocation of personnel or technology are in line with industry standards.

FINRA’s BrokerCheck Notification

FINRA Rule 2267 requires all member firms to notify their customers in writing at least once every calendar year about the availability of information through the FINRA BrokerCheck. The FINRA BrokerCheck’s hotline phone number is (800) 289-9999. The FINRA BrokerCheck Web Site address is: <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/> In addition, they have available an investor brochure that includes information describing the FINRA BrokerCheck.

Securities Investor Protection Corporation Notification

FINRA Rule 2266 requires all member firms to notify their customers in writing at least once every calendar year about their ability to obtain the Securities Investor Protection Corporation (SIPC) brochure and other information about SIPC by contacting SIPC. SIPC’s website address is www.sipc.org and SIPC’s phone number is (202) 371-8300.