



TD Ameritrade Business Continuity Plan Statement 德美利证券业务连续性计划声明

PO Box 2209 • Omaha, NE 68103-2209

In case of any discrepancy between the English and Chinese version of this statement, the English version shall prevail.

若本声明的英文与中文版本内容有任何差异，以英文版本为准。

Securities industry regulations require that brokerage firms inform their clients of their plans to address the possibility of a business disruption that potentially results from key types of scenarios: loss of technology, loss of workplace, loss of personnel or other events. TD Ameritrade has a comprehensive business continuity program in place, which is reviewed, updated and tested on a regular basis. The program is intended to maintain business operations such as processing client orders and transactions, providing access to cash and securities, and providing access to information about balances and transactions in client accounts.

证券行业法规要求经纪公司将其计划告知客户，以处理可能因以下关键类型场景而导致业务中断的可能性：技术故障、工作场所缺失、人员流失或其他事件。德美利证券制定了全面的业务连续性计划，并定期对其进行审查、更新和测试。该计划旨在维护业务运作，例如处理客户订单和交易，提供对现金和证券的访问以及提供客户帐户中余额和交易信息的访问。

Examples of how TD Ameritrade's plan addresses disruptions of varying scope and magnitude include:

德美利证券计划如何处理不同范围和程度中断的实例包括：

- Disruption of service at any of our service centers may result in calls, orders, and electronic communications being rerouted to an alternative service center located in a different region of the country with a separate power grid and transportation system.
- In the event of a public health crisis that resulted in a high rate of employee absenteeism, TD Ameritrade's plan focuses available personnel on critical business functions that directly support client needs and financial markets. Additionally, we may enact our conditional work from home and/or workforce continuity plan, which includes social distancing and other policies to limit exposure.
- A significant disruption in our primary data center may result in the recovery of systems at an alternate data center. Our data centers are each supported by backup power generators and are located in different regions of the country with different power grids and transportation networks.

- 发生在我们任何一个服务中心的服务中断都会导致电话、订单和电子通讯被转到位于国内不同地区的替代服务中心，他们具有单独的电网和运输系统。
- 发生公共健康危机而导致较高的员工旷工率，则德美利证券计划将可用人员集中在直接支持客户需求和金融市场的关键业务职能上。此外，我们可能制定条件性在家办公和/或员工连续性计划，其中包括社会隔离和其他政策以限制人员之间的接触。
- 发生在我们主要数据中心的严重中断会导致系统转换至备用数据中心的。我们的数据中心分别由备用发电机提供支持，且位于国内不同的地区，并且拥有不同的电网和运输网络。

While no contingency plan can eliminate all risk of service interruption or temporarily impeded account access, we continually assess and update our plans to mitigate all reasonable risk. Any modifications to our plan will be reflected in this Business Continuity Plan Statement, which will be posted on our website, or you may obtain a current version of this Statement by writing us at TD Ameritrade, Inc., Compliance Department, P.O. Box 2148, Omaha, NE 68103-2148.

虽然没有任何应急计划可以完全消除服务中断或暂时账户访问阻碍的风险，但我们会不断评估并更新我们的计划以降低所有合理风险。关于我们计划的任何修改都将呈现在本业务连续性计划声明中，并将在我们的网站上发布，或者您也可以通过写信至 TD Ameritrade, Inc., Compliance Department, P.O. Box 2148, Omaha, NE 68103-2148 索取此声明的最新版本。

Investment Products:
Not FDIC Insured * No Bank Guarantee * May Lose Value

投资产品：
非FDIC保险 * 非银行保证 * 可能损失价值

TD Ameritrade, Inc. and TD Ameritrade Clearing, Inc., members FINRA/SIPC, are subsidiaries of The Charles Schwab Corporation. TD Ameritrade is a trademark jointly owned by TD Ameritrade IP Company, Inc. and The Toronto-Dominion Bank. ©2021 Charles Schwab & Co. Inc. All rights reserved.

德美利证券公司和TD Ameritrade Clearing, Inc.是 FINRA/SIPC 成员，也是Charles Schwab Corporation的子公司。德美利证券是由 TD Ameritrade IP Company, Inc. 和 Toronto-Dominion Bank 共同拥有的商标。©2021 Charles Schwab & Co. Inc.版权所有。