



QUATTRO M SECURITIES INC.

Member NYSE, FINRA, SIPC
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To Our Valued Quattro Customers:

As many in our industry have done recently, we at Quattro M Securities Inc. have a continuity plan in place should the NYSE Floor be closed to staff. Our traders will still have access to the marketplace through Bloomberg and our secondary OMS SS&C's MarketTrader.

The only significant change to the usual market access services we provide, would be the NYSE opening and closing auctions which would prohibit E-Quote or D-Quote order types. All orders that are meant to trade on the opening and closing auctions must be entered as LOO/MOO or MOC/LOC and are restricted to the usual cut-off times for those order types. Orders for the closing auction must be entered prior to 3:50 pm and any size or limit would not be adjustable. There will not be any closing auction imbalance information available prior to 3:50 pm so it is highly recommended that you provide your best limits on these orders.

If you have any questions or concerns please feel free to reach out to us.

As always we appreciate your business and will do everything we can to accommodate your needs.

Thank you,

The Quattro M Staff

QUATTRO M SECURITIES, INC.

BUSINESS CONTINUITY PLAN SUMMARY

QUATTRO M SECURITIES, Inc. (the "Firm") maintains a Business Continuity Plan ("BCP") in accordance with FINRA Rule 4370. The provisions of this rule requires that the Firm summarizes its plan to advise its customers, should the Firm suffer a significant business disruption.

The Firm is an Introducing Broker and as such does not maintain custody of customers' funds or securities. Further, all of the Firm's public customers are introduced on a RVP/DVP basis. Our clearing firm is Industrial and Commercial Bank of China Financial Services, LLC ("ICBC") and we will contact ICBC to verify that there are no problems with past trades or deliveries.

In the event of a significant business disruption: If after a significant business disruption you cannot contact us as you usually do at 212-344-5661 you should look for further information at www.nyse.com. If you cannot access us through either of those means, you should contact our clearing firm, ICBC, at (212) 235-0624 or www.icbkus.com for instructions on how it may, to the extent practicable under the circumstances, provide prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions for your customers in the event of a significant business disruption.

Varying Disruptions: Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, or the city where we are located, or the whole region. The firm operates on the Floor of the New York Stock Exchange.

For a business district, citywide business disruption and/or regional business disruptions resulting in the closing of the NYSE, the firm will make every possible effort to operate at other various exchanges or whatever means practicable. In the event of an SBD that closes the NYSE and NYSE MKT (the "Exchanges"), the Exchanges have introduced a new functionality in order to operate without interruption, including opening and closing auctions, if either the Designated Market Maker (DMM) or the 11 Wall Street facilities are unavailable. Please see the attached notice from the NYSE entitled "Trader Update" dated March 10, 2016 for details.

In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business as soon as practicable. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business as soon as practicable. In either situation, we plan to continue in business, transfer operations to our clearings firm if necessary, and notify you of our plans. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to information about their transactions

Our clearing firm, ICBC, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and within the same business day. Your orders and requests for executions could be delayed during this period.



Trader Update

Date: March 10, 2016

Audience: Business Leaders, Technology and Operations Officers

Subject: NYSE Business Continuity Plan (BCP) - Update

In the second quarter of 2016, the NYSE and NYSE MKT (the "Exchanges") will introduce new functionality to enable the Exchanges to operate without interruption, including opening and closing auctions, if either the Designated Market Maker (DMM) or the 11 Wall Street facilities are unavailable.

If for any reason 11 Wall Street facilities are unavailable, the Exchanges' first level of BCP is for DMMs to facilitate opening and closing auctions remotely using their proprietary algorithms. In such case, the opening and closing auctions would follow current rules, including DMM participation to assist in maintaining fair and orderly opening and closing transactions and ensuring participation in the auction for all interest guaranteed an execution. While automated imbalance information will be disseminated normally, supplemental mandatory indications will not be disseminated. Because 11 Wall Street facilities would not be available, there would be no Floor-based broker interest that would participate in such an auction.

If DMMs are unable to facilitate the opening or closing of one or more assigned securities for any reason, regardless of whether 11 Wall Street facilities are available, the Exchanges' second level of BCP is for Exchange systems to facilitate the opening and closing auctions. The Exchanges will implement this second level of BCP only if a DMM is unavailable either on the Floor or remotely, which may be determined intra-day.

This new functionality will be implemented only after the conclusion of industry testing.

Overview of Exchange-Facilitated Opening and Closing Auctions

If the second level of BCP is invoked, the Opening and Closing auctions will be conducted at a price closest to the Exchanges last sale where the maximum amount of interest will trade, as described in Rule 123D(a)(2) – (6) (for Openings) and Rule 123C.10 (for Closings). Exchange systems will collar these auctions within predetermined parameters based on the last Exchange sale. When using these collars, it is possible that interest typically executed in full in an auction (Market Orders, Market on Open, Market on Close, marketable Limit Orders) may not be executed. In addition, no manually entered interest would participate in an Exchange electronic auction.

- **Opening Auction Process**

At 9:30 a.m., Exchange systems will execute an opening auction in each symbol as close to last sale price on the Exchange, within the price limits of Opening collars to be determined by the Exchange and communicated before testing. Interest remaining unexecuted after the Opening auction would be cancelled or posted to the Book as described in NYSE Rule 123D(a)(6).

- If all interest eligible to participate in the opening trade can trade within the Opening collars, the opening trade will be at the price closest the last sale at which all interest can trade.



Trader Update

- If there are only Market and Market on Open orders on both sides of the Market, the opening trade will be at the last sale price on the Exchange.
- If all interest eligible to participate cannot be satisfied within the Opening collars, the opening trade will be at the price closest to the last sale within the Opening collars at which the maximum volume of shares may trade, with priority given to Market and Market on Open orders.

If there is no opening interest eligible to trade within the Opening collars, Exchange systems will open the symbol at 9:30 a.m. with a quote, potentially including a zero bid and/or offer.

• Closing Auction Process

Exchange systems will execute the Closing auction within the Closing collars below using the Exchange last sale as a reference price.

Exchange Last Sale (Reference Price)	Closing Collars
Greater than \$0.00 up to and including \$25.00	10%
Greater than \$25.00 up to and including \$50.00	5%
Greater than \$50.00	3%

Similar to the opening trade, if all interest eligible to participate in the closing trade can trade within the Closing collars, the closing trade will be at the price where all interest can trade. If all interest cannot trade within these collars, interest that may otherwise be guaranteed to participate in a closing transaction will not participate. In order to provide time for DMMs to conduct a closing auction, the Exchange will not facilitate a closing auction until 4:03 p.m. The Exchange may solicit additional offsetting interest (see NYSE Rule 123C(9)), in which case Exchange systems will execute all closing interest that can be executed within the price parameters at 4:15 pm. If there is no interest that could be executed within the collars, the Exchange would close on a quote.

Testing

An industry test will be conducted on March 19, 2016. The Exchanges will issue a Trader Update regarding testing plans and scripts as well as implementation dates.

Contact Info:

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