

Peakstone Securities, LLC

Business Continuity Plan Disclosure

Effective: November 2025

Peakstone Securities, LLC (“Peakstone” or the “Firm”), has developed a comprehensive Business Continuity Plan to address how we will respond to events that significantly disrupt our operations. Given the unpredictable nature of such disasters or disruptions, we have designed our plan with the flexibility necessary to adapt to varying circumstances. We are sharing this information to keep you informed of our preparedness.

Contacting Us

In the event of a significant business disruption, if you are unable to reach us through your usual representative or our main office located at 550 West Van Buren Street, Suite 1460, Chicago, IL 60607, please visit our website at www.peakstonegroup.com for updates and further instructions.

Our Business Continuity Plan

We are committed to rapidly recovering and resuming business operations following any significant disruption. Our response prioritizes the safety of our employees and property, conducting comprehensive financial and operational assessments, protecting our firm’s records, and ensuring that our customers can continue their transactions. Our plan is designed to facilitate a swift resumption of operations, tailored to the scope and severity of the disruption.

Our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Varying Disruptions

Significant business disruptions can vary in scope, from isolated incidents affecting only our firm or a single building to broader impacts that affect our business district, city, or entire region. The severity can also differ, ranging from minimal to severe. Our response strategies include:

- **Localized Disruptions:** If the disruption affects only our firm or building, we will relocate operations to a nearby site as needed, aiming to resume business within four to six hours.
- **Wider Disruptions:** If the disruption impacts our business district, city, or region, we will transfer operations to a location outside the affected area, with an expected recovery time of 24 hours.

In either scenario, our objective is to continue business operations. We will keep you informed through our website at www.peakstonegroup.com. Should the disruption be so severe that we cannot continue operations, we will ensure that our customers have prompt access to their funds and securities.

For More Information

If you have questions about our business continuity planning, contact us at (312) 357-5900.