



PARADIGM CAPITAL INC./PARADIGM CAPITAL U.S. INC.

Paradigm Capital Inc. and Paradigm Capital U.S. Inc. (“Paradigm”) have developed Business Continuity Plans (“BCPs”) detailing how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will be flexible in our response to actual events as they occur. With that in mind, we are providing you with this general overview of our BCP.

Contacting Us

If after a Significant Business Disruption (“SDB”), you cannot contact Paradigm, you should contact our clearing and settling firm, NBCN Inc. (“NBCN”) at 416-542-2200 or at www.nbcn.ca, for information on how NBCN may assist in accessing your assets or liquidating your positions.

Our Business Continuity Plan

We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing our customers to transact business. In short, our Business Continuity Plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the SDB.

Our BCPs address several concerns: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees and regulators; critical supplier, contractor, bank and counterparty impact; regulatory reporting; and prompt customer access to funds and securities if we are unable to continue our business.

Our carrying and settlement broker, NBCN, backs up our important records.

For More Information

If you have any questions about our Business Continuity planning, you can contact our Compliance department at 416-361-9892.