

PUBLIC DISCLOSURE NOTICE

BUSINESS CONTINUITY PLAN SUMMARY

K2 Capital Asset Management, LLC, an introducing broker offering investment services to both retail and institutional clients, has established comprehensive business continuity and disaster recovery procedures designed to mitigate the impact of significant operational disruptions. These plans are developed with the understanding that maintaining critical business functions during such events is essential. The continuity framework includes protocols for sustaining essential systems and operations in the event of unforeseen disruptions and is aligned with regulatory requirements set forth by the financial industry.

In preparing for potential major interruptions, K2 Capital Asset Management, LLC has evaluated a variety of disruption scenarios—ranging from localized incidents (e.g., building-specific issues) to broader events such as citywide or regional outages. The objective of our continuity efforts is to maintain or swiftly restore critical business activities, generally from within the same geographic area.

To facilitate uninterrupted operations, K2 Capital Asset Management, LLC utilizes the technological infrastructure of our clearing firm, AXOS Clearing, which includes off-site data backups and redundant systems located in alternate facilities. In extreme cases where normal business operations are not feasible, American Capital Partners, LLC and AXOS Clearing have procedures in place to ensure clients have timely access to their assets and account information.

Please note, the firm's detailed business continuity plan includes confidential and proprietary information and, as such, cannot be shared publicly. Clients should also be aware that the continuity plan may be revised as needed. Any material updates will be posted on the websites of K2 Capital Asset Management and AXOS Clearing, in accordance with applicable regulations.