



Ally Invest  
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## **Ally Invest Business Continuity Plan**

Ally Invest Securities LLC (broker-dealer member [FINRA/SIPC](#)), and Ally Invest Advisors Inc. (a registered investment adviser) (collectively, “Ally Invest”) has developed a business continuity plan to address how we respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are unpredictable, we must be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

### **Contacting Us**

If, after a significant business disruption, you cannot contact us as you normally would through our [web site](https://www.ally.com/invest) (<https://www.ally.com/invest>), Live Chat, or by phone at (855) 880-2559, you should email us at [support@invest.ally.com](mailto:support@invest.ally.com). If you cannot reach us through any of those means and require prompt access to funds and securities or trade-related assistance, you should contact our clearing firm, Apex Clearing Corporation:

Apex Clearing Corporation  
350 North St. Paul St.  
Suite 1300  
Dallas, TX 75201  
214-765-1001

### **Our Business Continuity Plan**

We plan to quickly recover and resume business operations after a significant business disruption. We will 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 continue to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, relative 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 or resume business.

Our clearing firm 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 payments within the shortest time period possible. Your orders and requests for funds and securities could be delayed during this period.

### **Varying Disruptions**

Significant business disruptions can vary in their geographic effect, such as only our firm, a single building housing our firm, a business district where our firm is located, a city where we are located, or an entire region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to an alternative location as needed and recover and resume business as quickly as possible. 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 quickly as possible. In either situation, we plan to continue business operations or transfer operations to our clearing firm if necessary and notify you through our [web site](https://www.ally.com/invest) (<https://www.ally.com/invest>), Ally Mobile Application or our number (855) 880-2559 as to how to contact us. If a significant business disruption is so severe that it prevents us from remaining in business, we will prioritize enabling our customers' prompt access to their funds and securities.

For More Information - If you have questions about Ally Invest's Business Continuity Plan, you can contact us at [support@invest.ally.com](mailto:support@invest.ally.com).