

SYSTEMS CERTIFICATION FORM

APPLICANT NAME: _____

CRD NUMBER: _____

The Applicant hereby certifies that the communications and operational systems to be employed to conduct business with customers or other members and the plans and procedures to be employed by the Applicant are adequate and provide reasonably for business continuity with respect to each area set forth in Rule 1013(a)(1)(F)(xii), including:

- System capacity to handle the anticipated level of usage;
- Contingency plans in the event of systems or other technological or communications problems or failures that may impede customer usage or firm order entry or execution;
- System redundancies;
- Disaster recovery plans;
- System security;
- Disclosures to be made to potential or existing customers who may use such systems; and
- Supervisory or customer protection measures that may apply to customer use of, or access to, such systems.

Signature:

Name:

Date