

Summary Disclosure Statement for Clearpool Execution Services, LLC. Pursuant to FINRA regulations



(Pursuant to the Financial Industry Regulatory Authority (FINRA) regulations under Rule 4370)

Since September 11, 2001, the financial community continues to develop new processes, procedures and regulations to improve the resiliency of the financial markets, provide clearer security for customers' assets and reaffirm confidence in the ability to mitigate and/or respond to momentous events.

All members of Self-Regulatory Organizations (SRO's) such as NASD and NYSE are required through FINRA to have a Business Continuity Plan in place and to communicate that information to their customers. Clearpool Execution Services, LLC . has taken appropriate steps to protect our customers' assets and to comply with all financial market rules and regulations.

Clearpool Execution Services, LLC aligns with BMO Financial Group in maintaining business continuity preparedness by developing, testing, and exercising viable recovery strategies and plans. Our Business Continuity Management Program continues to evaluate the threats to our respective business and build upon our strategy to mitigate those threats. Our program incorporates industry sound practices and complies with regulatory guidance applicable to BMO Financial Corp.

Clearpool Execution Services, LLC Business Continuity objectives include the ability to safeguard the interests and well-being of our clients, customers, and employees in the event of any type of emergency, business disruption, or other unforeseen circumstances. We have established a framework that facilitates the rapid recovery and timely resumption of critical operations following any disruption to business. Our comprehensive business continuity strategy is designed so that critical processes and contracted third party arrangements are effective and compatible.

The Continuity Plan is reviewed and tested annually and has been approved by senior management. Our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternative physical location of employees; critical supplier, contractor, bank and counter-party impact; and regulatory reporting. We constantly re-evaluate and improve our response to disruptive events, therefore the CES Business Continuity Plan is subject to modification without notification.

Should a catastrophic event cause both the main and back-up facilities of Clearpool Execution Services, LLC to be inoperable or inaccessible, our Toronto based, investment banking affiliate within BMO Financial Group, would be capable of fulfilling our broker/dealer role in the administration, safekeeping and processing of Clearpool Execution Services, LLC .'s customers' assets.

If you have questions about our business continuity planning, you can contact our Compliance Officer:

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