Stax Capital · Member FINRA & SIPC · SEC Registered Broker-Dealer

BCP Disclosure Summary

Revised: September 8, 2026

Stax Capital maintains a Business Continuity Plan ("BCP") designed to permit the firm to resume operations as quickly as possible following a Significant Business Disruption ("SBD"), while safeguarding our employees and property, protecting the firm's books and records, making a prompt financial and operational assessment, and allowing our customers to continue to transact business.

This summary is provided to you in accordance with FINRA Rule 4370 and describes, in general terms, how our BCP addresses the possibility of a future SBD and how we plan to respond to events of varying scope. It is not the full internal BCP document, which contains additional operational detail maintained by the firm and available to regulators upon request.

What the BCP Covers

Our BCP addresses the following areas, as applicable to our business: data back-up and recovery; mission-critical systems; financial and operational assessments; alternate communications with customers, employees, and regulators; alternate physical locations for employees; critical supplier, bank, and counter-party relationships; regulatory reporting; and assuring customers' prompt access to their funds and securities if we are unable to continue our business.

Stax Capital does not maintain custody of customer funds or securities. The applicable product sponsor or issuer maintains all records relating to your investments and account holdings, and maintains its own business continuity arrangements with respect to those records. For information on a specific sponsor's or issuer's contingency plan, please contact them directly using the telephone number on your account statements or offering documents, or visit their website.

Types of Significant Business Disruptions

Our plan anticipates two kinds of SBDs: internal and external. An internal SBD affects only the firm's own ability to communicate and conduct business — for example, a fire or loss of electrical power at one of our locations. An external SBD affects the operation of the securities markets more broadly or a number of firms at once — for example, a terrorist attack, a natural disaster, or another event causing a wide-scale or regional disruption in essential services.

Internal SBDs

If a disruption affects only our firm, we will attempt to continue conducting business as usual using alternative means of communication (such as the internet or cell phones) or by relocating operations to an alternate location. If personnel or operations must relocate, we anticipate resuming regular operations within 48 hours.

External SBDs

If a disruption affects the broader securities markets or a wide geographic area, we will attempt to continue conducting business by relocating operations outside the affected area, where possible, or by using alternative communication arrangements to remain in contact with customers and support their access to funds and securities. We anticipate resuming business within 48–72 hours and will keep customers informed of relevant developments to the best of our ability given the circumstances.

In all cases, Stax Capital will resume normal business operations as soon as reasonably possible, based on the nature and extent of the disruption. If an SBD is severe enough to prevent us from continuing in business, we will take steps to assure customers' prompt access to their funds and securities.

Back-Up Arrangements

Stax Capital backs up its books and records electronically, on a daily basis, to third-party servers maintained in the cloud. In the event records at a primary location are lost or inaccessible, the firm will recover data from its back-up systems or continue operations from an alternate location.

How to Reach Us During an SBD

If you are unable to reach Stax Capital at our main number, please try the following, in order:

- Call our alternate telephone number: **(858) 229-8368**
- Visit our website at www.staxai.com
- Contact the product sponsor directly at the number listed on your most recent account statement
- Contact the private placement issuer directly at the number listed in your offering documents
- Visit the product sponsor's or issuer's website — typically listed on your statement or offering documents — for information on their business continuity arrangements
- Contact FINRA's District Office for information on our firm's status: **(213) 229-2300**

Questions

Any questions regarding Stax Capital's Business Continuity Plan should be directed to: **Stacey Morimoto, Chief Executive Officer**

2262 Carmel Valley Road, Suite G, Del Mar, CA 92014

Telephone: **(858) 229-8368**

Email: **stacey@staxai.com**

This summary may be updated from time to time. A current copy is available on our website, will be provided at the time your account or business relationship with us is established, and will be mailed to you upon request. We will notify you in writing of any material changes to this disclosure.

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