

This notice contains important information for current and prospective clients of MM Global Securities, Inc. (“MM Global”). MM Global is a registered broker-dealer with the Securities and Exchange Commission and a FINRA member. Please note that the information is being provided for informational purposes and is meant to cover different aspects of the Firm’s business.

## Securities Investor Protection Corporation (“SIPC”)

MM Global is a member of the Securities Investor Protection Corporation (“SIPC”). Investors may obtain information about SIPC, including a brochure entitled How SIPC Protects You, by contacting SIPC at:

Securities Investor Protection Corporation: 805 15th Street NW, Suite 800 Washington D.C. 20005  
Tel: (202) 371-8300  
Fax: (202) 371-6728  
Email: [asksipc@sipc.org](mailto:asksipc@sipc.org)

This information can also be obtained through the SIPC website at [www.sipc.org](http://www.sipc.org).

## Business Continuity Plan

MM Global has developed a Business Continuity Plan (BCP) to address an interruption in its normal business practice and to provide assurances that should the Firm not be able to operate, its clients are not affected in a material way. The plan addresses various types of potential disruptions to ensure that the Firm can react in an appropriate and timely fashion. However, no contingency plan can ensure that a severe disruption will not materially affect the Firm’s ability to conduct normal trading activities without a prolonged disruption. This plan may be updated whenever there is a change or enhancement in the plan as may be necessary.

MM Global is an Introducing Broker that offers agency routing and execution services for equity securities. The Firm does not clear nor carry customer accounts or securities. Accordingly, the Firm’s BCP focuses on identifying potential risks that could affect the Firm’s ability to offer its services as an IB and promptly taking action to reestablish business operations. The plan details actions and alternatives that can be offered to its clients in the event it is unable to operate.

In the event of a serious business disruption, MM Global clients may contact us at [info@mmiglob.com](mailto:info@mmiglob.com) for further information.

## USA Patriot Act I Anti-Money Laundering Procedures

MM Global is committed to abiding by the U.S. government’s regulatory and statutory requirements regarding Anti-Money Laundering protections. The USA PATRIOT Act was adopted to strengthen the United States government’s ability to combat terrorist financing and money laundering. An essential component of the USA PATRIOT Act requires financial institutions to obtain, verify, and record information that identifies each person or entity with a relationship at a financial institution. Prior to opening a new account or developing a client relationship and periodically during the term of that relationship, MM Global will require identifying information to allow it to meet the requirements of the USA Patriot Act and know your customer standards.

## Privacy Policy

MM Global considers the information its customers provide to us confidential and of the utmost importance. In order to provide brokerage services and maintain compliance with securities regulations, Volant collects certain personal and non-public information from its customers. Volant restricts access of your personal, non-public information to those employees who need to know that information to provide products and/or services to you. MM Global maintains physical, electronic, and procedural safeguards to guard your personal, non-public information.

## Compliance with Short Sale and Order Marking Requirement

Please be informed that it is the responsibility of the customer when routing an order to MM Global to properly mark their order(s) either sell long or sell short. Where applicable, customers must also receive a locate or pre-borrow of stock for any sell orders marked “short” and comply with long/short order marking provisions of Regulation SHO and all other relevant exchange and SEC rules, regulations or related orders.

## Investor Education and Protection

To check our background or any of our registered personnel, you can access information via the FINRA Broker Check system - <http://brokercheck.finra.org/>. Investors may also inquire about the Broker Check services by calling FINRA's hotline at (800) 289-999.

## Cybersecurity Policy

MM Global has a cybersecurity policy to protect confidential client information, to protect against an instruction of its trading platform(s) and to prevent a disruption in its business activities. The Firm will only utilize third-party routing and execution platforms that meet industry standards with respect to cybersecurity.

## Execution Quality

MM Global will designate all orders it receives as “not held” unless you advise us otherwise, on an order by order basis. The Firm will look to achieve best execution as an IB with respect to routing customer orders to an ATS or other market venue for execution.