



LIME TRADING CORP. ANNUAL ACCOUNT DISCLOSURES

LIME
TRADING

Please review the information provided in this disclosure package. It contains important information regarding your account(s) with Lime Trading Corp. (“Lime Trading” or “LTC”), important mandated regulatory disclosures, and disclosures about how we handle and execute your orders and, how we manage certain conflicts of interest.

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Privacy Policy

Lime Trading Corp. ("Lime Trading") is a broker-dealer registered with the U.S. Securities and Exchange Commission ("SEC") and member of the Financial Industry Regulatory Authority, Inc. ("FINRA"), the National Futures Association ("NFA") and the Securities Investor Protection Corporation ("SIPC") provides various trading and investment advisory services, including web and mobile trading applications, to retail and institutional investors (the "Services")

Lime Trading understands that confidentiality and security of the personal information ("Personal Information") that you share with it is important. Lime Trading is responsible for the Personal Information that it may collect in the manner discussed below. Lime Trading (which is, at times, referred to using phrases such as "we", "us" or similar phrases) is committed to protecting the privacy of Personal Information, including Personal Information related to individuals who may be customers, employees, agents, job applicants or others.

In this regard, Lime Trading have developed policies and practices designed to protect the privacy of your Personal Information. By opening an account at Lime Trading or by utilizing the products, Services and applications available through Lime Trading, you have consented to the collection and use of your Personal Information in accordance with this privacy policy ("Privacy Policy"). Please read this Privacy Policy carefully.

This Privacy Policy is based on the privacy and data protection principles common to the countries in which it operates. This Privacy Policy is intended to summarize Lime Trading's data protection practices generally and to advise its customers, prospective customers, job applicants, website visitors and other third parties about privacy policies that may be applicable.

This Privacy Policy is specifically addressed to those who provide Personal Information to Lime Trading or who visit or use Lime Trading's websites, trading platforms, software applications and/or social media sites.

How does Lime Trading collect Personal Information and what Personal Information does Lime Trading collect?

Lime Trading collects and processes Personal Information from you. This may include, among other things, information:

- Provided during the account application processes or during use of any Lime Trading website applications (for example, your name, email address, telephone number, birth date, tax ID number, investment objectives, etc.);
- Acquired as a result of the transactions you conduct through Lime Trading systems or in connection with services offered by Lime Trading;
- Received from consumer-reporting agencies; and collected through Internet cookies (for further information on Lime Trading's use of cookies, please see the Cookie Policy).

Are you required to provide Personal Information?

In order for you to utilize Lime Trading's Services, you will provide Lime Trading with your Personal Information entirely voluntarily. In many circumstances, Lime Trading cannot take action without utilizing certain of your Personal Information, for example, because this Personal Information is required to process your instructions or orders or provide you with access to its Services or marketing materials. In many cases, it would be impossible for Lime Trading to provide the Services to you without the relevant Personal Information.

For what purposes will Lime Trading use your Personal Information?

Lime Trading may use your Personal Information for the following purposes ("Permitted Purposes"):

- To provide you with brokerage and other services available on Lime Trading platforms, and/or to deal with any requests or inquiries you may have;
- To pursue legitimate interests, including to carry out, monitor and analyze Lime Trading's business or operations;
- To conduct Lime Trading's recruiting processes;
- To contact you (unless you tell us that you prefer us not to) regarding features and functionality that may be of interest to you;
- To enter into or carry out contracts of various kinds;
- To conduct monitoring by Lime Trading or any other person on its behalf using various methods, including:
 - (i) the use of "intelligent" automated monitoring tools;
 - (ii) through random monitoring of systems, for example systematically via electronic communication recording tools;
 - (iii) specific monitoring of systems for example



in relation to investigations, regulatory requests, subject access requests, litigation, arbitration or mediation; (iv) data tracking, aggregation and analysis tools that pull data from various disparate data sources to draw linkages and/or detect behavioral patterns, interactions or preferences for analysis (including predictive analysis); and/or (v) using other similar monitoring technology that may become available from time to time;

- To comply with applicable laws or regulations in any country;
- To provide third parties information in connection with the proposed or actual financing, insuring, sale, securitization, assignment, or other disposal of all or part of our business (including accounts) for the purposes of evaluating and performing the proposed transaction; and
- For any other purpose for which your Personal Information was provided to Lime Trading.

Lime Trading may process your Personal Information for the following purposes after obtaining your express consent where legally required:

- To communicate with you through the channels you have approved to keep you up to date on the latest developments, announcements and her information about Lime Trading services, products and technologies;
- To conduct client surveys, marketing campaigns, market analysis, or promotional activities; and
- To collect information about your preferences to create a user profile to personalize and foster the quality of Lime Trading's communication and interaction with you (for example, by way of newsletter tracking or website analytics).

Where legally required, with regard to marketing-related communication, Lime Trading will only provide you with such information after you have opted in and it will also provide you with the opportunity to opt out at any time if you do not wish to receive further marketing-related communication from us. Lime Trading likes to keep its clients, personnel and other interested parties informed of company developments, including news relating to Lime Trading that it believes is of interest to them. If you do not wish to receive publications or details of events or seminars that Lime Trading considers may be of interest to you, please let it know by contacting cs@lime.co. Where legally required, Lime Trading will not use your Personal Information for taking any automated decisions affecting you or creating profiles other than described above.

Depending on which of the above Permitted Purposes Lime Trading uses your Personal Information for, it may process your Personal Information on one or more of the following legal grounds:

- Because processing is necessary for the performance of a client instruction or other contract with you or your organization;
- To comply with Lime Trading's legal obligations (for example, to keep pension records or records for tax purposes);
- Since processing is necessary for the purposes of Lime Trading's legitimate interest or those of any third-party recipients that receive your Personal Information, provided that such interests are not overridden by your interests or fundamental rights and freedoms; and
- Since processing is useful or necessary in Lime Trading's discretion and is not prohibited under the law of the relevant jurisdiction.

In addition, the processing may be based on your consent where you have expressly given that to Lime Trading.

Who Lime Trading shares your Personal Information with, and in what circumstances

Lime Trading may share your Personal Information in the following circumstances:

- Lime Trading may share your Personal Information with affiliates on a confidential basis as allowed by applicable law or where required for the purpose of providing products or services and for administrative, billing and other business purposes. An affiliate is a company that Lime Trading owns or controls or with which there is common ownership with it and its parent company; Lime Trading may instruct its service providers, domestically or abroad, to process Personal Information for the Permitted Purposes on its behalf and in accordance with its instructions. Lime Trading generally requires these service providers to enter into confidentiality agreements with Lime Trading that limit their use of the information that they receive. Such agreements prohibit the service provider from using Lime Trading's customer information that they receive



other than to carry out the purposes for which the information was disclosed. If required by law, Lime Trading will retain control over and will remain responsible for your Personal Information and will use appropriate safeguards to ensure the integrity and security of your Personal Information when engaging service providers;

- Lime Trading may share information with joint marketing partners and alliances that offer products and services that might be of value to Lime Trading's clients. These offers will require that they be identified that an offer is being extended because of your relationship with Lime Trading. The use of Personal Information is limited to the purposes identified in Lime Trading's relationship with the partner or alliance;
- Lime Trading may share your Personal Information with companies providing services in the areas of fraud and crime prevention and with companies providing similar services, including financial institutions such as credit reference agencies and regulatory bodies;
- Lime Trading may share your data with third parties to assist Lime Trading with the conduct of its recruitment processes; Consistent with applicable law, Lime Trading may share your Personal Information with courts, law enforcement authorities, regulators or attorneys or other parties for the establishment, exercise or defense of a legal or equitable claim or for the purposes of a confidential alternative dispute resolution process; and
- Lime Trading may also use aggregated Personal Information and statistics for the purpose of monitoring website usage in order to help it develop its website and Services.

Otherwise, Lime Trading will only disclose your Personal Information when you direct it or give it permission to do so, when Lime Trading is allowed or required by applicable law or regulations or judicial or official request to do so, or as required to investigate actual or suspected fraudulent or criminal activities.

SMS Messages

If you provide your mobile number, you consent to receive SMS text messages from Lime Trading related to your account, transactions, and promotional content, as permitted by law. We value your privacy and will not share, sell, rent, or otherwise disclose your mobile number to third parties for their marketing purposes. Message frequency may vary depending on your interactions with us, such as purchases, preferences, and service updates. Message and data rates may apply depending on your mobile carrier and plan and any charges are your responsibility. We only collect the information that is necessary to operate our services and comply with all applicable TCPA regulations and the National Do Not Call Registry. We cooperate with law enforcement and regulators as required; however we challenge any overbroad requests for user data and notify users of any legal process, giving you the chance to defend your rights. Your consent to receive SMS messages is not a condition for purchasing any goods or services from us.

Depending on your state of residence, you may have additional privacy rights under applicable state laws. To exercise any of these rights, you may contact us at cs@lime.co. We will verify your identity and respond as required under applicable law. If you are a resident of California, Colorado, Connecticut, Utah, Virginia, or other states with comprehensive consumer privacy laws, please contact us for information about how to exercise these privacy rights. You may opt out of receiving SMS messages at any time by replying STOP to any message you receive from us. For assistance, reply HELP or contact our customer support team at cs@lime.co.

Personal Information about other people that you provide to Lime Trading

If you provide Personal Information to us about someone else (such as one of your directors or employees or someone with whom you have business dealings), you must ensure that you are entitled to disclose that Personal Information to us and that, without Lime Trading taking any further steps, Lime Trading may collect, use and disclose that Personal Information as described in this Privacy Policy. In particular, you must ensure that the individual concerned is aware of the various matters detailed in this Privacy Policy, as those matters relate to that individual, including Lime Trading's identity, how to contact Lime Trading, its purposes of collection, Lime Trading's Personal Information disclosure practices (including disclosure to overseas recipients), any right the individual may have to obtain access to the Personal Information and make complaints about the handling of the Personal Information and the consequences if the Personal Information is not provided (such as Lime Trading's inability to provide the Services).

Keeping Personal Information about you secure

To the extent required by law, we will take appropriate technical and organizational measures to keep your Personal Information confidential and secure in accordance with Lime Trading's internal procedures covering the storage, disclosure of and access to Personal Information. Personal Information may be kept on our information technology systems, those of our service providers or in paper files.



Updating your Personal Information

If any of the Personal Information that you have provided to us changes, for example if you change your email address or if you wish to cancel any request that you have made of us, please let us know by contacting Lime Trading Customer Support at cs@lime.co. We will not be responsible for any losses arising from any inaccurate or incomplete Personal Information that you provide to us.

How long do we retain your Personal Information?

Lime Trading retains your Personal Information in an identifiable form in accordance with our internal policies which establish general standards and procedures regarding the retention, handling and disposition of your Personal Information. Personal Information is retained for as long as necessary to meet legal, regulatory and business requirements. Retention periods may be extended if Lime Trading is required to preserve your Personal Information in connection with litigation, investigations and proceedings or it may be retained for other reasons.

Notice to California Residents: Subject to certain exceptions and limitations, you have the following rights with respect to covered personal information.

- You have the right to request the following information from us:
 - o Specific pieces of personal information we have about you;
 - o Categories of personal information we have collected about you;
 - o Categories of sources from which the personal information is collected;
 - o Categories of personal information sold or disclosed, if any;
 - o Categories of third parties with whom the personal information was sold or disclosed; and
 - o The purpose(s) for collecting or selling personal information.
- You have the right to request that Lime Trading deletes the personal information we have collected about you.
- You have the right to request to be opted out from the sale of your personal information.
- In certain circumstances, you may have the right to receive personal information concerning you in a portable format.
- You have the right not to be denied goods or services, charged different prices or rates for goods or services, or receive a differing level of quality of goods or services as a result of exercising the above rights.

The rights described above do not apply to certain categories of personal information. The personal information excluded from coverage under the California Consumer Privacy Act (“**CCPA**”) includes, among other things:

- Personal information Lime Trading collects from or about you when you apply for or obtain a product or service for personal, family or household purposes;
- Personal information about communications or transactions with you when you are acting on behalf of a company or government agency to do business with us; and,
- Personal information sold or bought from a consumer reporting agency for use in a consumer report in compliance with applicable law.

Lime Trading will apply verifiable consumer requests to covered personal information. You or your authorized agent may submit a CCPA request via email at compliance-internal@lime.co. We will respond to authorized requests as soon as practicable and as required by law. The above rights are subject to our ability to reasonably verify your identity and authority to make these requests. In order to verify that you are authorized to submit a request, you may be required to provide the following information.

Your CCPA rights are subject to various exclusions and exceptions under the law. Under certain circumstances, Lime Trading may be unable to implement your request, pursuant to applicable law. Lime Trading will advise you of any reason for denying or restricting a request to the extent permitted by law.

Lime Trading will not provide social security numbers, driver's license numbers or government issued identification numbers, financial account numbers, health insurance or medical identification numbers, account passwords or security questions and answers, or other specific pieces of personal information if the disclosure presents an unreasonable risk to the security of personal information, customer accounts or our systems and network security.



Updates to this Privacy Policy

This Privacy Policy was last updated in July 2025. We reserve the right to update and change this Privacy Policy from time to time, for example, in order to reflect any changes to the way in which we process your Personal Information or changing legal requirements. In case of any such changes, Lime Trading will post the changed Privacy Policy on the Lime Trading website or publish it otherwise. The changes will take effect as soon as they are posted on the Lime Trading website.

How to contact Lime Trading

We welcome your views about Lime Trading's website and its Privacy Policy. If you have any questions about this Privacy Policy, please contact Lime Trading Customer Support at cs@lime.co.

Lime Trading Cookie Policy

What are Cookies and Web Beacons?

Cookies are pieces of data that a website transfers to a user's hard drive for record-keeping purposes. Web beacons are transparent pixel images that are used in collecting information about website usage, email response and tracking. Generally, cookies may contain information about your Internet Protocol ("IP") addresses, the region or general location where your computer or device is accessing the Internet, browser type, operating system and other usage information about the website or your usage of Lime Trading's services, including a history of the pages you view.

How We Use Cookies and Web Beacons

Lime Trading collects information from cookies and web beacons and stores it in an internal database. This information is retained in accordance with Lime Trading's Privacy Policy. This website uses the following cookies and web beacons.

Strictly Necessary Cookies

These cookies are necessary for the website to function and cannot be switched off in Lime Trading's systems. They are usually only set in response to actions made by you which amount to a request for services, such as setting your privacy preferences, logging in or filling in forms. You can configure your browser to block or alert you about these cookies, but certain areas of the site will not function properly. These cookies do not store any personal data.

Performance Cookies and Web Beacons

These cookies and web beacons allow us to count visits and traffic sources so we can measure and improve the performance of Lime Trading's site. They help us to know which pages are the most and least popular and see how visitors move around the site. All information that these cookies and web beacons collect is aggregated and, therefore, anonymous. If you do not allow these cookies and web beacons Lime Trading's aggregated statistics will not have a record of your visit.

Our website uses Google Analytics, a web analytics service provided by Google, Inc. ("Google"). Google Analytics uses cookies to help analyze how you use this website. The information generated by the cookie about your use of our website (including your IP address) will be transmitted to and stored by Google on servers in the United States. Google will use this information for the purpose of evaluating your use of the website, compiling reports on website activity for website operators and providing other services relating to website activity and internet usage. Google may also transfer this information to third parties where required to do so by law, or where such third parties process the information on Google's behalf. Google will not associate your IP address with any other data held by Google.

Functional Cookies

These cookies enable the website to provide enhanced functionality and personalization. They may be set by Lime Trading or by third party providers whose services we have added to our pages. If you choose not to allow these cookies, some or all of these services may not function properly.

Targeting Cookies and Web Beacons

These cookies and web beacons may be set throughout Lime Trading's site by our advertising partners. They may be used by those companies to build a profile of your interests and show you relevant advertisements on other sites. They do not store personal information that could identify you directly but are based on uniquely identifying your browser and internet device. If you choose not to allow these cookies and web beacons, you will experience less targeted advertising. The website does not track users when they cross to third party websites, does not provide targeted advertising to them and therefore does not respond to Do Not Track signals.



Managing Your Cookie Preferences

You have many choices with regard to the management of cookies on your computer. All major browsers allow you to block or delete cookies from your system. However, if you do decide to disable cookies you may not be able to access some areas of Lime Trading's website, or the website may not function correctly. To learn more about your ability to manage cookies and web beacons and how to disable them, please consult the privacy features in your browser or visit www.allaboutcookies.org.

This website may link through to third party websites which may also use cookies and web beacons over which Lime Trading has no control. We recommend that you check the relevant third party's privacy policy for information about any cookies and web beacons that may be used.

FINRA Rule 2267 Investor Education and Protection

If you have any questions or comments, please contact your Lime Trading representative at es@lime.co

Anti-Money Laundering ("AML") Policies and Customer Identification Program

To assist the U.S. government's fight against the funding of terrorism and to prevent money laundering activities, federal laws and regulations require financial institutions to obtain and verify information that identifies each customer who opens an account. To this end, Lime Trading has established a compliance program which includes: (1) internal policies, procedures and controls; (2) the designation of an AML compliance officer dedicated to managing its anti-money laundering efforts; (3) an ongoing employee training program; and (4) provisions for an independent auditor to test the implementation of Lime Trading's AML Program.

As part of Lime Trading's Compliance/AML Program, when opening an account, Lime Trading is required to obtain your name, address, tax information and other information and documentation that will be utilized to verify your identification. For accounts other than natural persons (e.g., a corporation, partnership, trust, etc.) Lime Trading will request identifying documents evidencing the existence of the entity, such as articles of incorporation, a government-issued business license, a partnership agreement or a trust agreement.

Lime Trading may also request to see a valid government issued form of identification evidencing nationality or residence and bearing a photograph such as a driver's license, passport or other identifying documents for the control persons or beneficiaries of the account.

As required by federal law, if Lime Trading is unable to verify your identity, Lime Trading will not be able to open an account or establish a relationship with you. Lime Trading reserves the right to request additional information or documentation at any time at its sole discretion. Material changes in account information should be sent to es@lime.co.

While Lime Trading may be required to disclose this information pursuant to applicable laws, rules or regulations, it will otherwise be retained in confidence according to its Privacy Policy.

Rule 15c3-5 and Market Access

SEC Rule 15c3-5 (the "**Market Access Rule**") requires broker-dealers with, or providing access to, trading securities on exchanges or alternative trading systems ("**ATs**") to establish, document, and maintain a system of risk management controls and supervisory procedures reasonably designed to manage the financial, regulatory and other risks in connection with market access. Lime Trading has developed controls to comply with the Market Access Rule that are reasonably designed to reject or block orders that exceed pre-set risk parameters. Lime Trading employs policies, procedures, and controls to manage its regulatory, financial, and/or market access risks effectively in accordance with SEC Rule 15c3-5. Accordingly, Lime Trading monitors a customer's trading activity to detect potential systems issues, identify potential regulatory violations, provide product support, and/or oversee the application of the customer's risk limits. As a user of Lime Trading's market access and other brokerage services, you are responsible for ensuring that you, your investors, customers, clients, employees, principals, officers, directors, and/or agents abide by applicable laws and rules when submitting orders to Lime Trading. In addition, you are reminded to establish your own risk management policies, procedures, and/or controls and to monitor your investment positions and/or trading activities closely. Moreover, you should maintain these policies, procedures, and controls independently from any market access or risk management checks that are employed by Lime Trading.

The risk management controls employed by Lime Trading include, but are not limited to, a max order quantity, max notional value and limit price check as well as credit limits for each customer account.

Please note that Lime Trading will reject orders that appear erroneous based on the pre-set control parameters or that would exceed the pre-set credit thresholds in place for each customer. Lime accepts no responsibility for any losses,



whether actual, consequential, or otherwise, as a result of rejecting any customer order because of a market access control.

Order Handling of Not Held Orders

A “not held” order is an order placed by a customer in which the customer requests the executing broker to use its professional judgment to exercise discretion over the time and price at which to execute the order. A market order is generally considered to be an order to buy or sell a financial instrument at the current price at the time of order receipt. That is, the executing broker is “held” to a full and prompt execution at prevailing prices. Where the customer provides discretion to an executing broker to use its judgment, the customer is saying that the executing broker is “not held” to an immediate execution at prevailing prices. Lime handles all orders sent to the Lime Trading Smart Order Router or algorithmic suite as Not Held, leaving the price and time of execution to the discretion of Lime Trading. The Smart Order Router will try to provide a full and prompt execution at prevailing prices but will still take a small amount of time to consider the choice of venue before routing. An algorithmic trading strategy will handle the order in accordance with the strategy’s objectives, which could range from an immediate execution to an execution that takes all day to obtain for the client order.

Customer Order Protection (FINRA Rule 5320) and Front Running of Block Transactions (FINRA Rule 5270)

FINRA Rule 5320 generally prohibits a member firm that accepts and holds a customer order from trading for its own account at terms that would satisfy the customer order, unless the member immediately thereafter executes the customer order at the same or better price than it traded for its own account.

FINRA Rule 5270 prohibits a member from executing a buy or sell order in a security or related financial instrument when the member or person associated with a member causing an order to be executed has material non-public market information concerning an imminent block transaction in that security, a related financial instrument, or a security underlying the related financial instrument prior to the time information concerning the block transaction has been made publicly available.

Both FINRA Rules provide an exception for transactions to correct bona fide errors. While Lime Trading does not trade on a proprietary basis, for its own account, Lime Trading may trade on a principal basis to correct a bona fide error. As such, Lime Trading may, during the course of correcting an error, trade as principal at prices that would satisfy a customer order without applying those trades to the customer’s order or while in possession of the imminent execution of a block order, including a customer block order.

Principal Trading

Lime Trading does not engage in any of the following activities: (1) at-risk proprietary trading; (2) market making; (3) capital commitment; and/or (4) establishing directional positions. In the normal course of business, Lime Trading may require the ability to trade on a principal basis to liquidate positions to correct bona fide errors.

Clearly Erroneous Transactions

If a transaction is eligible for review under FINRA Rule 11890 (the “**Rule**”), Lime Trading may, on a best-efforts basis, file a clearly erroneous petition on the client’s behalf. In most cases, a clearly erroneous execution will be the result of an obvious error in any term, such as price, number of shares or other unit of trading, or identification of the subject security. Clearly Erroneous filings (“**CE**”) should be submitted within 30 minutes of the transaction.

Risks of Extended Hours Trading

There are unique risks associated with trading in securities at times that are outside the ordinary trading hours for the exchange(s) upon which securities are traded (“**Extended Hours Trading**” or “**After-Hours Trading**”). Customers are responsible for familiarizing themselves with the hours of the relevant markets upon which they trade and for determining when to place orders for particular securities, how they wish to direct those orders, and what types of orders to use. Lime Trading’s offer of Extended Hours Trading does not constitute a recommendation or conclusion that Extended Hours Trading will be successful or appropriate for all customers or trades.

Some risks associated with Extended Hours Trading are as follows:

1. **Risk of Lower Liquidity.** Liquidity refers to the ability of market participants to buy and sell securities. Generally, the more orders that are available in a market, the greater the liquidity. Liquidity is important because with greater liquidity it is easier for investors to buy or sell securities, and as a result, investors are more likely to pay or receive a competitive price for securities purchased or sold. There may be lower liquidity in extended hours trading as compared to regular market hours. As a result, your order may only be partially executed, or not at all.



2. **Risk of Higher Volatility.** Volatility refers to the changes in price that securities undergo when trading. Generally, the higher the volatility of a security, the greater its price swings. There may be greater volatility in extended hours trading than in regular market hours. As a result, your order may only be partially executed, or not at all, or you may receive an inferior price in extended hours trading than you would during regular market hours.
3. **Risk of Changing Prices.** The prices of securities traded in extended hours trading may not reflect the prices either at the end of regular market hours, or upon the opening of the next morning. As a result, you may receive an inferior price in extended hours trading than you would during regular market hours.
4. **Risk of Unlinked Markets.** Depending on the extended hours trading system or the time of day, the prices displayed on a particular extended hours system may not reflect the prices in other concurrently operating extended hours trading systems dealing in the same securities. Accordingly, you may receive an inferior price in a particular extended hours trading system than you would in another extended hours trading system.
5. **Risk of News Announcements.** Normally, issuers make news announcements that may affect the price of their securities after regular market hours. Similarly, important financial information is frequently announced outside of regular market hours. In extended hours trading, these announcements may occur during trading, and if combined with lower liquidity and higher volatility, may cause an exaggerated and unsustainable effect on the price of a security.
6. **Risk of Wider Spreads.** The spread refers to the difference in price between what you can buy a security for and what you can sell it for. Lower liquidity and higher volatility in extended hours trading may result in wider than normal spreads for a particular security.
7. **Risk of Lack of Calculation or Dissemination of Underlying Index Value or Intraday Indicative Value ("IIV").** For certain derivative securities products, an updated underlying index value or IIV may not be calculated or publicly disseminated in extended trading hours. Since the underlying index value and IIV are not calculated or widely disseminated during extended hours trading sessions, an investor who is unable to calculate implied values for certain derivative securities products in those sessions may be at a disadvantage to market professionals.
8. **Index Values.** The Exchange will not report a value of an index underlying an index option trading during After-Hours Trading Hours, because the value of the underlying index will not be recalculated during or at the close of After-Hours Trading Hours.
 - Pre-market session orders are accepted from 8:00 am EST to 9:30 am EST and post-market session orders are accepted from 4:00 pm EST to 6:00 pm EST.
 - Lime Trading offers access to the extended hours market sessions via direct connections to various electronic trading networks ("**ECN**").
 - Only limit orders are accepted in the extended hours market sessions, no other order types will be accepted, such as market, stop, trailing stop, etc.
 - To place an order during the extended hours sessions, the order must be placed as a "Day+" order. Additional ECN charges will be incurred upon any executions in the extended hours market sessions.
 - Orders for securities that have been halted by either the U.S. Securities and Exchange Commission ("**SEC**") or FINRA will not be accepted during the regular market session nor during the extended hours market sessions.

The actual date of a transaction will be the trade date for all transactions whether in the regular market session or the extended hours market sessions.

Risks of Margin Trading

This document provides you with information about purchasing securities on margin and alerts you to the risks involved with trading in a margin account. "Margin trading" can mean engaging in a transaction in which securities are purchased partially through a margin loan extended to you by Lime Trading, for which the securities act as collateral. Margin trading can also mean trading investment products such as futures or options in which an initial "margin" deposit is made to secure your obligations and further margin may be required to secure your obligations as the value of your position changes.

When you purchase securities, you may pay for the securities in full or you may borrow part of the purchase price from your brokerage firm. If you choose to borrow funds from your firm, you will need to open a margin account with Lime Trading. The securities purchased are used as collateral for the loan to you. If the securities in your account decline in value, so does the value of the collateral supporting your loan, and, as a result, we can take action, such as issuing a margin call and/or selling securities or other assets in your account, in order to maintain the required equity in the



account.

Additionally, it is important that you fully understand the risks involved in trading on margin. These risks include:

- **You can lose more funds than you deposit in your account.** A decline in the value of securities purchased on margin may require you to provide additional funds to the firm that has made the loan to avoid a forced sale of those securities or other securities in your account.
- **The firm can force the sale of securities in your account.** If the equity in your account falls below legally required maintenance margin requirements or the firm's higher house requirements, the firm can sell the securities in your account to cover the margin deficiency. You also will be responsible for any shortfall in the account after such a sale.
- **The firm can sell your securities without contacting you.** While many firms will attempt to notify their customers of margin calls, they are not required to do so. Even if a firm has contacted a customer and provided a specific date by which the customer can meet a margin call, the firm can still take necessary steps to protect its financial interest, including immediately selling the securities without notice.
- **You are not entitled to choose which security in your margin account is liquidated or sold to meet a margin call.** Because the securities are collateral for the margin loan, the firm has the right to decide which securities to sell in order to protect itself.
- **The firm can increase its "house" maintenance margin requirement at any time and is not required to provide you with advance notice.** Changes in firm policy often take effect immediately and may result in the issuance of a maintenance margin call. Your failure to satisfy the call may cause the firm to liquidate or sell securities in your account.
- **You are not entitled to an extension of time on a margin call.** While an extension of time to meet margin requirements may be provided, a customer does not have a right to the extension.
- **You will pay interest on your margin loan at the rates disclosed on the Lime Trading website.** (<https://lime.co/pricing/>, please click on Margin Rates), which can increase or decrease over time. These margin interest costs will reduce your return on investment.

The IRS requires broker dealers to treat dividend payments on loaned securities positions as a substitute payment in lieu of a dividend. A substitute payment is not a qualified dividend and is taxed as ordinary income.

Industry regulations may limit your ability to exercise voting rights of securities that have been lent or pledged to others. You may receive proxy materials indicating voting rights for a fewer number of shares than are in your account or you may not receive any proxy materials.

Day Trading Risk Disclosure

You should consider the following points before engaging in a day-trading strategy. For purposes of this notice, a "day-trading strategy" means an overall trading strategy characterized by the regular transmission by a customer of intra-day orders to effect both purchase and sale transactions in the same security or securities.

Day trading can be extremely risky: Day trading generally is not appropriate for someone of limited resources and limited investment or trading experience and low risk tolerance. You should be prepared to lose all of the funds that you use for day trading. In particular, you should not fund day-trading activities with retirement savings, student loans, second mortgages, emergency funds, funds set aside for purposes such as education or home ownership, or funds required to meet your living expenses. Further, certain evidence indicates that an investment of less than \$50,000 will significantly impair the ability of a day trader to make a profit. Of course, an investment of \$50,000 or more will in no way guarantee success.

Be cautious of claims of large profits from day trading: You should be wary of advertisements or other statements that emphasize the potential for large profits in day-trading. Day trading can also lead to large and immediate financial losses.

Day trading requires knowledge of securities markets: Day trading requires in-depth knowledge of the securities markets and trading techniques and strategies. In attempting to profit through day trading, you must compete with professional licensed traders employed by securities firms. You should have appropriate experience before engaging in day trading.

Day trading requires knowledge of a firm's operations: You should be familiar with a securities firm's business



practices, including the operation of the firm's order execution systems and procedures. Under certain market conditions, you may find it difficult or impossible to liquidate a position quickly at a reasonable price. This can occur, for example, when the market for a stock suddenly drops, or if trading is halted due to recent news events or unusual trading activity. The more volatile a stock is, the greater the likelihood that problems may be encountered in executing a transaction. In addition to normal market risks, you may experience losses due to system failures.

Day trading will generate substantial commissions, even if the per trade cost is low: Day trading involves aggressive trading, and generally you will pay commissions on each trade. The total daily commissions that you pay on your trades will add to your losses or significantly reduce your earnings. For instance, assuming that a trade costs \$16 and an average of 29 transactions are conducted per day, an investor would need to generate an annual profit of \$111,360 just to cover commission expenses.

Day trading on margin or short selling may result in losses beyond your initial investment: When you day trade with funds borrowed from a firm or someone else, you can lose more than the funds you originally placed at risk. A decline in the value of the securities that are purchased may require you to provide additional funds to the firm to avoid the forced sale of those securities or other securities in your account. Short selling as part of your day-trading strategy also may lead to extraordinary losses, because you may have to purchase a stock at a very high price in order to cover a short position.

Potential Registration Requirements: Persons providing investment advice for others or managing securities accounts for others may need to register as either an "Investment Advisor" under the Investment Advisors Act of 1940 or as a "Broker" or "Dealer" under the Securities Exchange Act of 1934. Such activities may also trigger state registration requirements.

The following general requirements regarding day-trading have been imposed by FINRA and are enforced by Lime Trading Corp.

- Day-Traders are characterized by transacting four or more stock or options day-trades within a five-day period in a margin account.
- Day-Traders must maintain at least \$25,000.00 in account value in order to continue day-trading practices.
- In the event that a Day-Trader does not maintain \$25,000.00 in account value they will be required to provide cash on-hand for same-day stock transactions.

Additionally, an account may be flagged for day-trading if it regularly recycles funds within the same day. For example, an investor sells a security (stock or option) for a premium of \$400 and proceeds to purchase another security (stock or option) for \$400 when no other capital is available and prior to funds being cleared. If an account becomes designated as a pattern day-trading account and does not maintain the minimum required equity, at least \$25,000.00, a call will be issued which must be met within 5 business days, otherwise the account will be restricted to Cash only for a period of 90 days or until the account equity is brought above the minimum equity requirement or at least \$25,000.00. Additionally, if your account meets or exceeds the minimum equity amount, it may be eligible for day-trading margin, which is 4 times account buying power. This day trading buying power may only be used intra-day and may not be held past market close. Please be advised that exceeding your day-trading buying power will result in a day-trading call which must be met promptly, and before you engage in further day-trading.

Exchange Traded Products Risk Disclosure

Exchange Traded Products ("ETPs") are types of securities that derive their value from a basket of securities such as stocks, bonds, commodities or indices, and trade intra-day on a national securities exchange. Generally, ETPs take the form of Exchange-Traded Funds ("ETFs") or Exchange-Traded Notes ("ETNs"). Both ETFs and ETNs have risks that all investors should consider before they make their investment decision.

Investors should consider an ETP's investment objective, risks, charges, and expenses carefully before investing. The prospectus, which contains this and other important information, should be read carefully before investing.

ETFs

ETFs are subject to market risk, including the possible loss of principal. The value of the portfolio will fluctuate with the value of the underlying securities. ETFs trade like a stock, and there will be brokerage commissions associated with buying and selling exchange traded funds. ETFs may trade for less than their net asset value.

ETFs may have underlying investment strategy risks similar to investing in commodities, bonds, real estate, international markets or currencies, emerging growth companies, or specific sectors.



ETNs

ETNs have characteristics and risks which are different from ETFs. ETNs are senior unsecured promissory obligations, typically issued by a bank or another financial institution; however, ETNs are not categorized as typical fixed income products. ETN holders are directly exposed to the issuer's credit or default risk. If the issuer defaults, an ETN's investors may receive only pennies on the dollar or nothing at all, and investors should remember that credit risk can change quickly.

Non-Traditional ETPs

Non-traditional ETPs (leveraged, inverse, or leveraged-inverse) employ sophisticated financial strategies and instruments, such as leverage, futures, and derivatives, in pursuit of their investment objectives. Leveraged and inverse ETFs are considered risky. The use of leverage and inverse strategies by a fund increases the risk to the fund and magnifies gains or losses on the investment. You could incur significant losses even if the long-term performance of the underlying index shows a gain. Typically, these products have one-day investment objectives, and investors should monitor such funds on a daily basis. The Financial Industry Regulatory Authority (FINRA) and the Securities and Exchange Commission (SEC) seek to warn retail investors of the risks associated with investing in non-traditional ETFs and issued an Investor Alert entitled "Leveraged and Inverse ETFs: Specialized Products with Extra Risks for Buy-and-Hold Investors," which is available on the FINRA and the SEC web sites.

Risks of non-traditional ETPs are outlined below:

- Non-traditional ETPs are complex products that have the potential for significant loss of principal and are not appropriate for all investors.
- Non-traditional ETPs seek investment results for a single day only. The effect of compounding and market volatility could have a significant impact upon the investment returns. Investors could lose a significant amount of principal in a short period of time.
- Non-traditional ETPs may be volatile under certain market conditions. Investors holding non-traditional ETPs over longer periods of time should monitor those positions closely due to the risk of volatility.
- Non-traditional ETPs are focused on daily investment returns, and their performance over longer periods of time can differ significantly from their stated daily objective. Investors may incur a significant loss even if the index shows a gain over the long term.
- Non-traditional ETPs use a variety of derivative products in order to seek their performance objectives. The use of leverage in ETPs can magnify any price movements, resulting in high volatility and potentially significant loss of principal.
- Non-traditional ETPs may suffer losses even though the benchmark currency, commodity, or index has increased in value. Investment returns of non-traditional ETPs may not correlate with price movements in the benchmark currency, commodity, or index the ETP seeks to track.
- Some non-traditional ETPs may have a low trading volume, which could impact an investor's ability to sell shares quickly.
- Non-traditional ETPs may be less tax efficient than other Exchange Traded Products. As with any potential investment, an investor should consult with his or her tax advisor and carefully read the prospectus to understand the tax consequences of non-traditional ETPs.

The specific risks associated with a particular ETP are detailed in the fund's prospectus. Additional risks may include adverse market condition risks, investment strategy risk, aggressive investment techniques risk, concentration risk, correlation risk, counterparty risk, credit risk and lower-quality debt securities risk, energy securities risk, equity securities risk, financial services companies risks, interest rate risk, inverse correlation risk, leverage risk, market risk, non-diversification risk, shorting risk, small and mid-cap company risk, tracking error risk, and special risks of exchange traded funds, among others. Investors should refer to the ETP's prospectus to obtain a complete discussion of the risks involved in that ETP before investing.

Additional resources:

[FINRA Non-Traditional ETFs FAQ](#)

[FINRA, SEC Warn Retail Investors About Investing in Leveraged or Inverse ETFs](#)

[NYSE Informed Investor, What You Should Know About Exchange Traded Funds](#)

[SEC Investor Bulletin: Exchange-Traded Funds \(ETFs\)](#)

[SEC Fast Answers, Exchange-Traded Funds](#)



Risk Disclosure Statement Regarding Stop Orders

A stop order is an order to buy or sell a stock once the price of the stock reaches a specified price, known as the stop or trigger price. A buy stop order is entered at a stop price above the current market price generally to close out a short position. A sell stop order is entered at a stop price below the current market price. Investors generally use a sell stop order to limit a loss or to protect a profit on a stock that they own. A stop order becomes a market order when the stop price is reached.

A stop-limit order is an order to buy or sell a stock that combines the features of a stop order and a limit order. Once the stop price is reached, a stop-limit order becomes a limit order with an instruction to execute the order at the specified limit price (or better).

Placing contingent orders, such as "stop" or "stop-limit" orders, will not necessarily limit a customer's losses to the intended amounts, since market conditions on the exchange or market where the order is placed may make it impossible to execute a stop limit order at the specified limit price or may cause a stop order to be executed at a price that is far away from the specified stop price.

Stop-Limit Order Types Offered by Exchanges May Differ from the Traditional Order Type. Stop and stop-limit orders submitted using an exchange's native order type may have additional non-standard attributes or be managed in a way that is different than the traditional definition of a stop or stop-limit order. Please review the exchange's website and/or contact the exchange for more information about how an exchange may handle a stop or stop-limit order submitted using the exchange's native order type. Among other things, exchanges may include attributes in native stop or stop limit orders that result in the order not being executed at all.

There is No Guarantee That a Stop or Stop-Limit Order Will Be Executed At or Near the Trigger Price or Will Be Executed At All. Please be aware that a stop or stop-limit order may not be triggered or may not be executed at or near the specified trigger price. Among other things, execution venues may fail to honor their posted prices or may experience delays or failures that may prevent or delay a stop order from being executed. In addition, market events may result in a stop order being executed far from the customer's specified trigger price.

For instance, in situations where many customers submit stop orders with similar trigger points or there is a lack of liquidity in the market, a stop order may be executed at a price that is significantly different than the specified trigger price and a stop-limit order may not be executed at all because the market price of the security is trading at a price that is not equal to or better than the specified limit price.

Penny Stock/Low-Priced Securities Trading Risk Disclosure

Definition

The term "penny stock," or "low priced security," generally refers to low-priced shares issued by a company that are not traded on an exchange or quoted by NASDAQ. Low priced securities generally are quoted over-the-counter, such as on the OTC Bulletin Board (or OTCBB, which is a facility of FINRA) or OTC Links LLC (which is owned by OTC Markets Group, Inc., formerly known as Pink OTC Markets Inc.). Low priced securities may, however, also trade on exchanges.

Low priced securities are considered speculative investments and customers who trade in low priced securities should be prepared for the possibility that they may lose their entire investment, or an amount in excess of their investment if they purchased on margin. Before investing in a low-priced security, you should thoroughly review the issuer and be aware of the certain risks associated with trading low-priced securities.

Low Priced Security Risks:

Loss of All or Much of Your Investment Trading Penny Stocks

All investments involve risk, but penny stocks are among the riskiest and are generally not appropriate for investors with low risk tolerance. Many penny stock companies are new and do not have a proven track record. Some penny stock companies have no assets, operations or revenues. Others have products and services that are still in development or have yet to be tested in the market. Penny stock companies therefore have a greater risk of failure and those who invest in penny stocks have a greater risk that they may lose some or all of their investment.



Risk of Lower Liquidity

Low priced securities may trade infrequently, which means that it may be difficult to sell the shares once you own them. Because it may be difficult to find quotations for certain low-priced securities, they may be difficult, or even impossible, to accurately price.

Risk of Higher Volatility

Due to low liquidity, low priced securities are subject to greater volatility and price swings. A customer order to purchase or sell a low-priced security may not execute or may execute at a substantially different price that was quoted in the market at the time the order was placed. In addition, the market price of any low-priced security you purchased can vary significantly over time.

Lack of Public Information

Most large publicly traded companies file periodic reports with SEC that provide information relating to the company's assets, liabilities and performance over time. In contrast, information about low-priced securities can be extremely difficult to find, making them more likely to be the subject of an investment fraud scheme and making it less likely that quoted prices in the market will be based on full and complete information about the company.

No Minimum Listing Standards

Companies that offer shares of their stock on exchanges can be subject to stringent listing standards that require the company to have a minimum amount of net assets and shareholders. Most penny stock companies do not list their shares on exchanges and are not subject to these minimum standards.

Risk of Scams

Low priced securities are frequent vehicles for scams and/or market manipulation due to their generally lower prices and less stringent listing requirements. You should be wary of advertisements, unsolicited emails, newsletters, blogs or other promotional reports that emphasize the potential for large profits in these securities. These promotional materials are often used to manipulate or "pump up" the price of low-priced securities before selling a large volume of shares, a.k.a "dump". Customers are therefore strongly encouraged to do their own due diligence with respect to any low-priced securities they invest in and not rely on any outside promotional materials.

Further Reading

Before you consider investing in the stock of any small company, you may want to review the low-priced securities rules outlined in Exchange Act Section 15(h) and Exchange Act Rules 3a51-1 and 15g-1 through 15g-100 as well as the SEC brochure Microcap Stocks: A Guide for Investors <https://www.sec.gov/reportspubs/investor-publications/investorpubsmicrocapstockhtm.html>.

Options Trading

Options involve risk and are not suitable for all investors. There is no guarantee that the option strategies promoted will accomplish the stated objectives. Options trading is considered speculative and may result in the loss of a portion of or all of your initial investment and/or funds in excess of the principal invested. Prior to buying or selling an option, you should read the "Characteristics and Risks of Standardized Options" document, which is known as the options disclosure document ("**ODD**"). Electronic copies of the ODD and any supplements are available on the Options Clearing Corporation website, which is located at the following link: [Characteristics and Risks of Standardized Options](#).

There are special risks associated with uncovered option writing which expose the investor to potentially significant loss. Therefore, this type of strategy may not be suitable for all customers approved for options transactions.

- The potential loss of uncovered call writing is unlimited. The writer of an uncovered call is in an extremely risky position and may incur large losses if the value of the underlying instrument increases above the exercise price.
- As with writing uncovered calls, the risk of writing uncovered put options is substantial. The writer of an uncovered put option bears a risk of loss if the value of the underlying instrument declines below the exercise price. Such losses could be substantial if there is a significant decline in the value of the underlying instrument.
- Uncovered option writing is thus suitable only for a knowledgeable investor who understands the risks, has the financial capacity and willingness to incur potentially substantial losses, and has sufficient liquid assets to meet applicable margin requirements. In this regard, if the value of the underlying instrument moves against an uncovered writer's options position, your Lime Trading representative may request significant



additional margin payments. If you do not make such margin payments, Lime Trading may liquidate stock or option positions in your account, with little or no prior notice in accordance with your margin agreement.

- For combination writing, where an investor writes both a put and a call on the same underlying instrument, the potential risk is unlimited.
- If a secondary market in options were to become unavailable, investors could not engage in closing transactions, and an option writer would remain obligated until expiration or assignment.
- The writer of an American-style option is subject to being assigned an exercise at any time after he has written the option until the option expires. By contrast, the writer of a European-style option is subject to exercise assignment only during the exercise period.
- You are expected to have read and clearly understand the ODD. In particular, your attention is directed to the chapter entitled Risks of Buying and Writing Options. This chapter does not address all of the risks entailed in writing uncovered options.

Further, in order to properly represent orders entered on exchanges, Lime Trading is required to indicate whether public customer orders are “**Professional Orders**”, as defined by Cboe Rule 1.1(ggg) and harmonized rules of the other option exchanges). To comply with this requirement, Lime Trading is required to review its customers’ activity on at least a quarterly basis to determine whether orders that are not for the account of a broker or dealer should be represented as Professional Orders. Under circumstances where Lime Trading identifies a customer who has placed an average of more than 390 orders in listed options per day during any month of a calendar quarter, Lime Trading will represent that customer’s orders as Professional Orders within five (5) days of the next calendar quarter. If, during a quarter, an exchange identifies a customer for which orders are not being represented as Professional Orders but that has averaged more than 390 orders per day during a month, the exchange will notify Lime Trading, and Lime Trading will be required to change the manner in which it is representing the customer’s orders within five (5) days. Additionally, broker-dealers that route listed option orders to Lime Trading have an obligation to review such order flow and appropriately designate customer orders as Professional Orders.

General Investment and System Risk Disclosure

This material has been prepared for informational purposes only and is NOT intended to provide, nor should it be relied on, for tax, legal, or accounting advice. Please consult your own tax, legal, and accounting advisors before engaging in any securities transactions as each individual investment(s) may result in diverse/adverse tax implications that will affect the outcome of any investment strategy. No information presented herein should be considered an offer to buy or sell a particular type of security. This is not an offer or solicitation in any jurisdiction where Lime Trading Corp. (“Lime Trading”) is not authorized to offer such services to customers. Other fees, such as regulatory, service, or other fees, may apply.

Please visit Lime Trading’s [Pricing Page](#) for further information.

Investments involve risk, past performance does not represent future results. Diversification may help spread risk but does not protect in a down market. You may lose all of your investment. Investors should evaluate their financial situation, investment objectives, and goals before investing. Substantial risks are involved with electronic trading. Day trading involves significant risk and is not suitable for all investors. Please see Lime Trading’s Day Trading Risk Disclosure Statement for more detailed information. Trading on margin is not appropriate for every investor. Please see Lime Trading’s Margin Disclosure Statement for information on risks.

System response may vary due to multiple factors including, but not limited to, trading volumes, market conditions, system performance, and other factors. Access to electronic services may be limited or unavailable during periods of peak demand, market volatility, systems upgrades, maintenance, or for other reasons.

SEC Rule 606 Disclosure

Please note that in addition to the information regarding Lime Trading’s routing of certain orders that we publish to our website on a quarterly basis pursuant to SEC Regulation NMS Rule 606, we also are required to provide you annual notice that you are entitled to receive upon request the following information for orders in NMS stocks that you submitted on a held basis and orders in NMS securities that are options contracts:

1. the identity of the venue to which your routed for execution in the six months prior to the request,
2. whether the orders were directed orders or non-directed orders, and,
3. the time of the transactions, if any, that resulted from such orders.



Please also note that we are required to provide the same information to you for your not held orders if the total of not held orders received compared to total orders was below the threshold to require that we provide you with the information listed in Rule 606(b)(3). (Please see [Rule 606](#)).

Please additionally note that FINRA Rule 6151 became effective on June 30, 2024. Accordingly, FINRA is publishing Lime Trading's quarterly 606 reports. Lime Trading will continue to keep past 606 reports posted to the Lime Trading website.

Payment for Order Flow (SEC Rule 607 Disclosure)

Rule 607 of Regulation NMS requires broker-dealers to disclose, upon opening a new customer account and on an annual basis thereafter: (i) their policies regarding payment for order flow, including a statement as to whether any payment for order flow is received for routing customer orders and a detailed description of the nature of the compensation received; and (ii) their policies for determining, in the absence of specific customer instructions, where to route customer orders that are the subject of payment for order flow, including a description of the extent to which orders can be executed at prices superior to the National Best Bid / Offer ("**NBBO**").

Lime Trading bases its routing decisions on a number of factors including, but not limited to, price, order size, liquidity, venue reliability, likelihood of execution, potential for price improvement and execution cost, consistent with its duty to achieve best execution for every order. Lime Trading does not base equities or options order routing decisions on the receipt of payment for order flow or any other order routing inducements, including exchange rebates or similar incentives.

For further information regarding Lime Trading's best execution practices, please see the Best Execution Statement, which can be found at <https://lime.co/disclosure-statements/>.

Exchanges and other trading venues offer cash credits, called rebates, to Lime Trading for certain orders that Lime Trading routes to their venues. The same trading venues charge fees for other orders that Lime routes to them. Generally speaking, exchanges and trading venues pay rebates to members for limit orders that add liquidity to the exchange book and charge access fees to members for marketable orders that remove liquidity from their books. The difference between the access fees collected and rebates paid is the venue's profit. There also are exchanges that pay rebates for orders that remove liquidity from their books and charge fees for orders that provide liquidity to their books. These are referred to as "inverted" venues, because their business model is the opposite of the standard access fee-rebate model.

Lime Trading routes orders to exchanges that operate both inverted and standard fee models and receives rebates on its limit orders from standard venues and marketable orders from inverted venues. This model creates an incentive for Lime Trading to route orders to the venues with the lowest fees or to the venues that pay the highest rebates. Access fees/rebates are capped in the U.S. NMS market at .0003 per share.

Lime Trading routes option orders to exchanges or market makers for handling and may collect payment for order flow for options trades executed through such Market Makers.

For more details about payment for order flow, please see the firm's quarterly order routing report at [Lime Trading SEC Rule 606 Reports](#).

Please note that Lime Trading will provide you, upon request, the venue(s) on which we executed your order(s) and whether Lime Trading received a rebate from such venue during the relevant time period.

Large Trader Reporting - SEC Rule 13h-1

Large Trader Reporting requires a person or entity that meets the definition of a Large Trader, pursuant to SEC Rule 13h-1 to: (1) Identify itself to the SEC via the filing of a form 13H; (2) obtain a Large Trader ID ("**LTID**") from the SEC, and (3) Provide their LTID to all executing and clearing registered broker-dealers through which they transact in NMS securities and identify each account to which the LTID applies. A Large Trader is defined as a person or entity whose trades in NMS equity securities and/or listed options for their own account, or any account which they exercise discretion over, that equals or exceeds either 2 million shares or \$20 million during any calendar day, or 20 million shares or \$200 million during any calendar month. Any customer qualifying as a Large Trader must submit their LTID related information to es@lime.co

Regulation Best Interest Disclosure

Regulation Best Interest ("Reg BI") establishes a standard of conduct for broker-dealers and natural persons who are associated persons of a broker-dealer when making a recommendation of any securities transaction or investment



strategy involving securities (including account recommendations) to a retail customer. If Reg BI applies, a broker-dealer must act in the best interest of a retail customer when making a recommendation and at the time the recommendation is made. Lime Trading does not recommend securities transactions or investment strategies involving securities (including account type recommendations) to its customers, so Reg BI does not apply to Lime Trading. However, should any information or service offered by Lime Trading be construed as a recommendation to a retail customer, these disclosures describe (1) the scope and terms of our relationship with retail customers and (2) conflicts of interest associated with information or services provided by the Firm.

Lime Trading offers a variety of account and investment options for both retail and institutional customers, and brokerage fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at www.investor.gov/CRS, which also provides educational materials about broker-dealers, and investment advisers.

Affiliated Entities

Lime Trading is affiliated with an SEC registered investment adviser, Lend Academy Investments, LLC. Lend Academy Investments, LLC offers a variety of advised securities accounts and services. You can find more information regarding Lend Academy Investments, LLC by visiting www.adviserinfo.sec.gov.

About This Document

This document is meant to provide additional information and disclosures regarding Lime Trading pursuant to the SEC's Regulation Best Interest.

Capacity in Which Your Financial Professional Is Acting

The financial professional(s) assisting you is a registered representative of Lime Trading. You can check the financial professional at <https://brokercheck.finra.org>, which will allow you to search for your financial professional by name and review their background and experience in the securities industry, as well as additional information regarding Lime Trading.

Material Limitations

In a self-directed brokerage relationship, Lime Trading will act as your agent to complete securities and other investment transactions at your direction and on your behalf. While Lime Trading can, in its discretion, provide you with general educational materials and investment research, in a self-directed brokerage relationship, Lime Trading and its account representatives will not make investment recommendations to you, and you will not be assigned an account representative.

There are material limitations to the financial products and services Lime Trading provides. Lime Trading approves and offers only certain account types, products, and securities. There may be additional account types, products, and securities that are not offered by Lime Trading, which may benefit you and your portfolio. In addition, those that we do offer may be available at a lower cost through another firm.

Additionally, while financial professionals associated with Lime Trading are licensed to offer certain account types, products, and securities, your financial professional will not recommend a particular account type, product, and/or security which may benefit you and your portfolio. You can check to see the licenses your financial professional holds, by visiting <https://brokercheck.finra.org>.

Requirements for You to Open or Maintain an Account with Lime Trading Corp.

There is a minimum investment requirement to begin trading, which can be found at <https://lime.co/pricing/>.

Account Fees

In addition to the minimum balance requirements, commissions and sales charges described above, customers can also be charged commissions and sales charges, direct fees and charges for miscellaneous account services, including, but not limited to transaction processing, transfers, margin, ticket charges, inactivity, and account maintenance. For a complete list of these charges and fees, you should review your account agreement and/or fee schedule on the Lime Trading website <https://lime.co/pricing/>.

For additional information about our services or a copy of this disclosure, please call 1-855-274- 4934 (toll free) where you can request up-to-date information and a copy of Lime Trading Corp.'s Form CRS.



Conflicts of Interest

Lime Trading may receive shared revenues, fees, and/or payments from third parties (i.e., clearing firms, market makers, research vendors and tools, etc.) which could create an incentive to offer certain products or services.

Understanding Risk

Lime Trading does not provide tax, legal or accounting advice. Accordingly, it encourages each customer to consult their own personal tax, legal and/or accounting advisers in order to understand the potential consequences associated with a particular investment strategy.

Investing in securities involves risk of loss that customers should be prepared to bear. Different types of investments involve varying degrees of risk and there can be no assurance that any specific investment or investment strategy will be profitable for a customer's investment portfolio.

Past performance is not indicative of future results. A customer should not assume that the future performance of any specific investment, investment strategy, or product will be profitable or equal to past or current performance levels. Lime Trading cannot ensure that the investment objectives of any customer will be realized. For additional product-specific risks, customers should review their prospectus, offering document, or similar materials and consider them carefully prior to making an investment decision.

Client Relationship Summary

Lime Trading Corp. ("Lime Trading") is registered with the U.S. Securities and Exchange Commission ("[SEC](#)") as a broker-dealer and is a member of the Financial Industry Regulatory Authority ("[FINRA](#)"), the New York Stock Exchange ("[NYSE](#)"), the Securities Investor Protection Corporation ("[SIPC](#)"), and the National Futures Association ("[NFA](#)"). Lime Trading Corp. offers a variety of account and investment options to both retail and institutional customers. Brokerage and investment advisory services and fees differ, and it is important for retail investors to understand the differences. Free and simple tools are available to research firms and financial professionals at www.Investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

Conversation Starters. Ask your financial professional:

- *Given my financial situation, should I choose a brokerage service? Why or why not?*
- *How will you choose investments to recommend to me?*
- *What is your relevant experience, including your licenses, education and other qualifications?*
- *What do these qualifications mean?*

Lime Trading is a registered broker dealer that provides self-directed brokerage services for investors. We offer trading in domestic equities, options, futures, exchange-traded funds (ETFs), and money market funds. You must meet certain investment minimums to open a brokerage account. For specific minimums, visit Lime.co/FAQ. Our registered representatives are employed by Lime Trading, a broker dealer, and not by an investment advisor. Lime Trading does not solicit orders or offer recommendations or advice. You are responsible for all decisions regarding your investments. We do not review the performance of your account and your orders should be based on your own risk tolerances and investment objectives. Client accounts are monitored by Lime Trading to manage our risk, not to monitor the risk of clients. Our employees are registered representatives for the purposes of providing customer service and trading support only. Our employees are not investment advisors and therefore do not choose investments, solicit orders, or offer recommendations or investment advice. You make the ultimate decision regarding the purchase or sale of investments. If you are unsure whether you should open an account at Lime Trading, please consult a financial professional. For additional information regarding our services, please visit our website at Lime.co.

What fees will I pay?

Conversation Starters. Ask your financial professional:

- *Help me understand how these fees and costs might affect my investments.*
- *If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?*

The fees you pay will depend on the type of brokerage services you choose, the services that you request, and the volume of trading that you do. Lime Trading offers a zero commission rate for trades through Lime Trader. For Lime Direct, you will pay us a commission for each investment you buy or sell and the more transactions you make, the more



fees you will pay us. You may also pay regulatory, exchange and clearing firm fees that are passed through to the account. These fees may be in addition to execution fees or commissions charged.

If you borrow money in a margin account, you will be charged margin interest. If you short stock shares, you will be charged the applicable interest rate to borrow the shares. You may also pay fees associated with back-office processing and maintenance for custodial or administrative services, such as wire transfers, returned checks, retirement account closeouts, and express mail delivery. For detailed information regarding fees, please visit lime.co/pricing. Mutual funds, ETFs, and similar products typically charge their own separate fees and expenses. See the applicable prospectus or offering document for more information about these fees and expenses.

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying. These fees are shown on your client statement.

What are your legal obligations to me when providing recommendations? How else does your firm make money and what conflicts of interest do you have?

We do not make recommendations. The way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the services that we provide you. Here are some examples to help you understand what this means.

Examples of Ways We Make Money and Conflicts of Interest

Conversation Starters. Ask your financial professional:

- *How might your conflicts of interest affect me, and how will you address them?*
- *How do your financial professionals make money?*

We receive compensation for directing equity and options order flow to certain market participants. We have an incentive for you to trade more frequently and in greater volume because we generally receive more fees when you do so. We also receive payments from certain mutual funds in the form of shareholder service fees. We have an incentive for you to invest in third-party funds that pay us shareholder service fees. We receive payments, credits, reductions in our costs and/or conference support from third-party product managers, sponsors, intermediaries, and platform providers or their affiliates, including from our clearing brokers (ABN AMRO, Axos, Vision, and Wedbush) and third-party asset management platform providers. Our financial professionals are salaried employees who are not paid commissions for products sold, transactions executed, or the amount of assets serviced.

Do you or your financial professionals have legal or disciplinary history?

Conversation Starters. Ask your financial professional:

- *As a financial professional, do you have any disciplinary history? For what type of conduct?*

Yes. Visit www.investor.gov/crs for a free and simple search tool to research us and our financial professionals.

Additional Information

Conversation Starters. Ask your financial professional:

- *Who is my primary contact person? Is he or she a representative of an investment adviser or a broker-dealer?*
- *Who can I talk to if I have concerns about how this person is treating me?*

For additional information about our services, please visit our website at [Lime.co](https://lime.co) or call 1-855-274-4934 (toll free) where you can request up-to-date information and a printed copy of Form CRS and a copy of the Lime Trading Regulation Best Interest Disclosures. Lime does not assign designated representatives to handle customer accounts. If you have any concerns about the service that you receive, you can contact us at: support@lime.co or call us at 646-558-3232.

Business Continuity Plan

Lime Trading has established an enterprise-wide business continuity planning program to assess and manage the effects of a significant emergency disruption on its business operations in an effort to provide continuity of critical business functions. Such critical business functions include entering of customer orders, completing securities transactions, and providing clients' access to their cash and securities. Consistent with regulatory requirements, Lime Trading provides this disclosure statement to its clients summarizing the program.



Recovery plans are designed to restore the Lime Trading environment, which include alternative workspaces and back-up computer systems. The recovery plans are subject to annual testing. The recovery tests utilize off-site copies of data, applications, and system software. Materials identified as necessary to resume operations are stored at off-site locations with security and environmental controls. Long-range plans have been developed which relate to strategic business plans. A regular review of capacity and resource needs is performed to update processing and storage requirements.

The plan (“**Plan**”) is designed to describe the actions Lime Trading will take in the event of disruptions of varying scope. The Plan includes off-site facilities for trading, critical investment systems, and operating areas. In addition, call forwarding and other telecommunication services are in place to provide continued communication between Lime Trading and its clients.

The specific details of the Plan are confidential for obvious security reasons. Lime Trading also has extensive back-up policies, procedures, and processes in place designed to handle recovery activities with minimal interruption in service if a critical system failure should occur.

Lime Trading plans to recover as soon as practicable and resume business operations after a significant business disruption. Lime Trading will respond to the disruption by safeguarding our employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing our customers to transact business. In short, its business continuity plan is designed to permit Lime Trading to resume operations as soon as practicable dependent on the scope and severity of the business disruption. Dependent on the severity and scope of the disruption, issues including but not limited to order entry, market data, execution speed etc. may be impacted, as Lime Trading may be operating on a best-efforts basis. Lime Trading’s 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 counterparty impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

The Plan is designed to account for the actions Lime Trading will take in the event of disruptions of varying scope and severity. This includes incidents involving single or multiple office buildings where any of Lime Trading’s offices may reside, citywide or regional events of disruption. It also includes information regarding staff unavailability, where staff members may be unable to work at their normal business location. Lime Trading leverages its remote work technology and regional and out-of-region office locations to recover critical functions, data, and system applications including alternative manual procedures identified to enable continued functionality. The Plan has been reasonably designed to allow Lime Trading to continue its business, likely at a reduced capacity, and safeguard the interests of its clients. Disruption of service at any of our service centers may result in call orders and electronic communications being rerouted to an alternative service center.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only Lime Trading, a single building housing Lime Trading, the business district where Lime Trading is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only Lime Trading or a building housing Lime Trading, we plan to transfer our operations to a local site when needed and expect to recover and resume business within 24 hours. In a disruption affecting our business district, city, or region, we plan to transfer our operations to a site outside of the affected area and recover and resume business within 1 business day.

If the significant business disruption is so severe that it prevents Lime Trading from remaining in business, we will assure our customers’ prompt access to their funds and securities. If the Securities Investor Protection (“**SIPC**”) determines that Lime Trading is unable to meet its obligations to its customers or if its liabilities exceed its assets in violation of Securities Exchange Act Rule 15c3-1, SIPC may seek to appoint a trustee to disburse our assets to securities customers. Lime Trading will assist the appointed trustee by providing its books and records identifying customer accounts subject to SIPC regulations. Contact information for SIPC and Lime Trading’s clearing firms is located on the last page of this document. For further information, please contact your Lime Trading account representative. The recovery and business continuity plans of Lime Trading are subject to modification without notice. Updates will be posted to Lime Trading’s websites and customers may request this information by contacting the number above. Lime Trading does not guarantee that for every event or business disruption: (i) such plans will be successfully implemented; or (ii) such plans, if implemented will be sufficient and appropriate to avoid, deter, or mitigate the event or business disruption. In addition, in that Lime Trading is dependent upon various infrastructures (e.g., transportation, telecommunications, exchanges, and industry utilities), Lime Trading’s ability to implement its plans may be impacted by issues with these infrastructures.



Contacting Us

If, after a significant business disruption, you cannot contact Lime Trading as you usually do at 646-558-3232 or 855-274-4934, you should call our alternative number 855-274-4934 or contact the clearing firm holding your account (details below for instructions on how to provide prompt access to funds and securities, execute orders and process other trade-related, cash, and security transfer transactions).

Trusted Contact Person

When you open a new account or update your contact information, Lime Trading will request that you provide a name and contact information for a “trusted contact person”. You are not required to do so but there are a number of reasons to provide the name of someone you trust. A “trusted contact person” is a person that you authorize us to contact in limited circumstances, such as if we have trouble reaching you or if we reasonably believe that your account may be exposed to possible financial exploitation. Naming someone as a trusted contact person will not give that person any authority to act on your behalf, execute transactions or engage in any activity in your account. If you wish to add a trusted contact person to your account, please contact Lime Trading Customer Support at cs@lime.co.

Customer Complaint Notice – SEC Rule 17a-3(a)(18)(ii) Disclosure Statement

Lime Trading, in accordance with Rule 17a-3(a)(18)(ii), is furnishing this statement to provide you with a name, telephone number and address if you ever need to report or notify us of a possible complaint. If, for any reason, you feel you have a complaint, please contact our Chief Compliance Officer immediately by telephone (646) 558-3232 or 855-274-4934, by email at compliance@lime.co or by mail at: Lime Trading Corp., 1 Penn Plaza, 16th Floor, New York, NY 10119.

Futures Risk Disclosure Statement (CFTC Rule 1.55(C))

Risk Disclosure Statement for Futures and Options

This brief statement does not disclose all of the risks and other significant aspects of trading in futures and options. In light of the risks, you should undertake such transactions only if you understand the nature of the contracts (and contractual relationships) into which you are entering and the extent of your exposure to risk. Trading in futures and options is not suitable for many members of the public. You should carefully consider whether trading is appropriate for you in light of your experience, objectives, financial resources and other relevant circumstances.

Futures

1. **Effect of “Leveraging” or “Gearing”.** Transactions in futures carry a high degree of risk. The amount of initial margin is small relative to the value of the futures contract so that transactions are ‘leveraged’ or ‘geared’. A relatively small market movement will have a proportionately larger impact on the funds you have deposited or will have to deposit; this may work against you as well as for you. You may sustain a total loss of initial margin funds and any additional funds deposited with the firm to maintain your position. If the market moves against your position or margin levels are increased, you may be called upon to pay substantial additional funds on short notice to maintain your position. If you fail to comply with a request for additional funds within the time prescribed, your position may be liquidated at a loss, and you will be liable for any resulting deficit.
2. **Risk-Reducing Order or Strategies.** The placing of certain orders (e.g., “stop-loss” orders, where permitted under local law, or “stop-limit” orders) which are intended to limit losses to certain amounts may not be effective because market conditions may make it impossible to execute such orders. Strategies using combinations of positions, such as “spread” and “straddle” positions may be as risky as taking simple “long” or “short” positions.

Options

Variable Degree of Risk. Transactions in options carry a high degree of risk. Purchasers and sellers of options should familiarize themselves with the type of option (i.e., put or call) which they contemplate trading and the associated risks. You should calculate the extent to which the value of the options must increase for your position to become profitable, taking into account the premium and all transaction costs. The purchaser of options may offset or exercise the options or allow the options to expire. The exercise of an option results either in a cash settlement or in the purchaser acquiring or delivering the underlying interest. If the option is on a future, the purchaser will acquire a futures position with associated liabilities for margin (see the section on Futures above). If the purchased options expire worthless, you will suffer a total loss of your investment which will consist of the option premium plus transaction costs. If you are contemplating purchasing a deep out-of-the-money option, you should be aware that the chance of such options becoming profitable ordinarily is remote.

Selling (“writing” or “granting”) an option generally entails considerably greater risk than purchasing options. Although the premium received by the seller is fixed, the seller may sustain a loss well in excess of that amount. The seller will be



liable for additional margin to maintain the position if the market moves unfavorably. The seller will also be exposed to the risk of the purchaser exercising the option and the seller will be obligated to either settle the option in cash or to acquire or deliver the underlying interest. If the option is on a future, the seller will acquire a position in a future with associated liabilities for margin (see the section on Futures above). If the position is “covered” by the seller holding a corresponding position in the underlying interest or a future or another option, the risk may be reduced. If the option is not covered, the risk of loss can be unlimited. Certain exchanges in some jurisdictions permit deferred payment of the option premium, exposing the purchaser to liability for margin payments not exceeding the amount of the premium. The purchaser is still subject to the risk of losing the premium and transaction costs. When the option is exercised or expires, the purchaser is responsible for any unpaid premium outstanding at that time.

Additional Risks Common to Futures and Options.

1. **Terms and Conditions of Contracts.** You should ask the firm with which you deal with about the terms and conditions of the specific futures or options which you are trading and associated obligations (e.g., the circumstances under which you may become obligated to make or take delivery of the underlying interest of a futures contract and, in respect of options, expiration dates and restrictions on the time for exercise). Under certain circumstances the specifications of outstanding contracts (including the exercise price of an option) may be modified by the exchange or clearing house to reflect changes in the underlying interest.
2. **Suspension or Restriction of Trading and Pricing Relationships.** Market conditions (e.g., illiquidity) and/or the operation of the rules of certain markets (e.g., the suspension of trading in any contract or contract month because of price limits or “circuit breakers”) may increase the risk of loss by making it difficult or impossible to effect transactions or liquidate /offset positions. If you have sold options, this may increase the risk of loss. Further, normal pricing relationships between the underlying interest and the future, and the underlying interest and the option may not exist. This can occur when, for example, the future contract underlying the option is subject to price limits while the option is not. The absence of an underlying reference price may make it difficult to judge “fair” value.
3. **Deposited Cash and Property.** You should familiarize yourself with the protections afforded money or other property you deposit for domestic and foreign transactions, particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specified legislation of local rules. In some jurisdictions, property which had been specifically identifiable as your own will be prorated in the same manner as cash for purposes of distribution in the event of a shortfall.
4. **Commission and Other Charges.** Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.
5. **Transaction in other Jurisdictions.** Transactions on markets in other jurisdictions, including markets formally linked to a domestic market, may expose you to additional risk. Such markets may be subject to regulation which may offer different or diminished investor protection. Before you trade you should enquire about any rules relevant to your particular transactions. Your local regulatory authority will be unable to compel the enforcement of the rules of regulatory authorities or markets in their jurisdictions where your transactions have been effected. You should ask the firm with which you deal with for details about the types of redress available in both your home jurisdiction and other relevant jurisdictions before you start to trade.
6. **Currency Risks.** The profit or loss in transactions in foreign currency-denominated contracts (whether they are traded in your own or another jurisdiction) will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
7. **Trading Facilities.** Most open-outcry and electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. Your ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or member firms. Such limits may vary; you should ask your broker which you deal with for details in this respect.
8. **Electronic Trading.** Trading on an electronic trading system may differ not only from trading in an open-outcry market but also from trading on other electronic trading systems. If you undertake transactions on an electronic trading system, you will be exposed to risk associated with the system including the failure of hardware and software. The result of any system failure may be that your order is either not executed according to your instructions or is not executed at all.



9. **Off-Exchange Transactions.** In some jurisdictions, and only then in restricted circumstances, firms are permitted to effect off-exchange transactions. The firm with which you deal with may be acting as your counterparty to the transaction. It may be difficult or impossible to liquidate an existing position, to assess the value, to determine a fair price or to assess the exposure to risk. For these reasons, these transactions may involve increased risks. Off-exchange transactions may be less regulated or subject to a separate regulatory regime. Before you undertake such transactions, you should familiarize yourself with applicable rules and attendant risks.

NFA Background Affiliation Status Information Center (BASIC)

When opening an account and on an annual basis, Lime Trading is required to provide customers with written notice of the NFA's BASIC system. As such, please see the following link: www.nfa.futures.org/basicnet.

Reporting Discrepancies and Inaccuracies

You should review account statements and trade confirmations on a regular basis. You should review your statement as soon as you receive it to make sure it correctly reflects your investment decisions and any actions you have taken or authorized during the relevant time period. You must notify Lime Trading immediately by telephone at 646-558-3232 or electronically at cs@lime.co if: (a) you fail to receive an accurate confirmation of an execution or cancellation; (b) you receive a confirmation that is different than your order; (c) you receive a confirmation for an order that you did not place; or (d) you receive an account statement, confirmation, or other information reflecting inaccurate orders, trades, balances, positions, margin status or transaction history.

FINRA Rule 2266 Securities Investor Protection Corporation (SIPC) Statement

Lime Trading's customer securities accounts are carried by its clearing firms. Securities in accounts carried by a clearing firm are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection on claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's board of directors. Coverage does not protect against a decline in the market value of securities, nor does coverage extend to certain securities that are considered ineligible for coverage.

For more details on SIPC, or to request an SIPC brochure, visit www.sipc.org or call 202-371-8300. Unless otherwise disclosed, securities and other investments held through a clearing firm are not FDIC-insured, not bank guaranteed, and may lose value.

Securities Investor Protection Corporation Services

1667 K Street, NW, Suite 1000
Washington DC 20006-1620
202-371-8300 <http://www.sipc.org/>

Lime Trading - Securities Clearing Firm Contacts

Axos Clearing LLC

15950 West Dodge Road, Ste. 300
Omaha, NE 68118 1-800-811-3487 <http://www.axosclearing.com>

ABN AMRO Clearing Chicago LLC

175 W. Jackson Blvd, Suite 2050
Chicago, IL 60604 1-312-604-8000 <https://abnamroclearing.com>

Vision Financial Markets LLC

120 Long Ridge Road, 3 North
Stamford, CT 06902 1-877-836-3949 <http://www.vfmarkets.com/>

Wedbush Securities Inc. 1000 Wilshire Blvd

Los Angeles, CA 90017 1-213-688-8000 <https://wedbush.com>

For more information – Should you have any questions concerning the annual disclosure statements you have received, you may submit questions to LTC Customer Support at cs@lime.co.