



May 7, 2021

Does the increase of cases in certain locations (e.g., India, Brazil, etc.) adversely impact your organization?

At this time there are no adverse effects to our business due to increasing cases in these locations. However, the firm continues to monitor our resources around the globe for any potential risks due to local increases in COVID-19 cases and will take appropriate actions as required to mitigate those risks.

Does your existing Business Continuity Plans (BCP) remain sufficient to address the increased number of cases and state restrictions in these locations?

The firm's BCP continues to be sufficient to address the increasing COVID-19 case numbers in other locations at this time. The firm continues to coordinate closely with all local governmental bodies and all our critical vendors, in all locations the firm operates, and will make changes and update our Business Continuity Plan, if necessary, to mitigate any newly identified risk(s) to the firm.

Has there been, or do you expect there to be, any disruption of service due to the increased number of COVID-19 cases and state restrictions in India?

At this time there is no impact to the firm due to the increase of COVID-19 cases in India. The firm continues to monitor the situation and closely coordinates with all its critical vendors to mitigate all identified risk(s) from the firm's resource chain.

What is the escalation and communication plan with clients in the event of an impact on your business and your ability to provide clients with products and/or services?

In the event of any disruptions to the firm's ability to support/operate the products or services it provides to its clients, the firm follows a defined escalation and communications procedure. This involves, but is not limited to, the firm's Client Services team sending out email notifications to technical and business contacts for each client informing them of the issue and follow-up notifications advising them of the firm's plan of action to resolve the issue.

Does your organization have strategies that include the ability to transfer work to other locations?

The firm's Business Continuity Plan details the process by which the firm is able to provide client support from any of its global office locations, which ensures the firm is able to continue to provide its products and services to its clients.

Have steps been taken to address the potential impacts associated with third parties that support your operations from a pandemic perspective as a result of the increased number of cases and state restrictions in locations that are seeing a spike in COVID-19 cases?



EquiLend continues to monitor and coordinates closely with all the firm's critical vendors to mitigate all new identified risk(s) to the firm's resource and supply chains.