



Business Continuity Plan **2019**

Brock Securities LLC has developed a Business Continuity Plan detailing how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events, as they occur. With that in mind, we are providing you with this information on our Business Continuity Plan.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at 212-209-3000, you should go to our website at www.brocksecurities.com. If you cannot access us through either of those means, you should contact our Financial and Operations Principal, Thomas Hopkins at 603-216-8933 for instructions on how it may, to the extent practicable under the circumstances, provide prompt access to our staff in the event of a significant business disruption.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our staff and property, making a financial and operational assessment, protecting the firm’s books and records. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back-up and recovery; all mission critical systems; financial and operational assessments; alternative communications with clients, firm associates, and regulators; alternate physical location of associates; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our clients prompt access to staff, if we are unable to continue our business.

Our data back-up services (electronic) back up our important records in a geographically separate area.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm 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 our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within one business day, if possible. In a disruption affecting our business district, city or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within the same business day, if possible. In either situation, we plan to continue in business, transfer operations to either a local or a distant alternative location if necessary, and notify you through our website www.brocksecurities.com how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our clients prompt access to our staff.

For more information – If you have questions about our business continuity plan, you may Contact us at 212-209-3000.