

Brooks, Houghton Securities FINRA Business Continuity Planning

To comply with FINRA regulations Brooks, Houghton Securities, Inc. has developed a Business Continuity Plan on 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 212-753-1991, you should contact kcentofanti@brookshoughton.com, ddriscoll@brookshoughton.com or ghoughton@brookshoughton.com.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond 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, 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 backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternative physical location of employees; critical supplier, contractor and bank impact; regulatory reporting.

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 24 hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected areas, and recover and resume business within 48 hours. In either situation, we plan to continue in business and notify you through our website or contact the telephone numbers in the attached schedule. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our clients of the prompt notification of this event and how to access data.

For more information – If you have questions about our business continuity planning, you can contact us at: 212-753-1991 or ghoughton@brookshoughton.com.