

Egret Securities LLC - Business Continuity Plan Statement

Egret Securities LLC (“Egret” or the “Firm”) has developed a Business Continuity Plan on how the Firm will respond to events that significantly disrupt business. Since the timing and impact of disasters and disruptions is unpredictable, Egret will have to be flexible in responding to actual events as they occur. With that in mind, Egret is providing you with this information on the Firm’s business continuity plan.

Contacting Us – After a significant business disruption you can contact us as you usually do at smichaels@egretsecurities.com, Office: 561-484-4040, Cell: 917-488-3350. If you cannot access us through either of those means, you should contact Egret’s clearing firm(s):

Evan Greenberg
245 Summer Street
Boston, MA 02205
Office: 617.563.2407
Cell: 617.775.0674
Email: evan.greenberg@fmr.com

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

The 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 suppliers, contractor, bank and counter-party impact; regulatory reporting; and assuring customers prompt access to their funds and securities if Egret is unable to continue business.

The clearing firm(s) also back up Egret’s important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, Egret has been advised by the clearing firm(s) that their objective is to restore their own operations and be able to complete existing transactions and accept new transactions and payments depending upon the availability of external resources. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only Egret, a single building housing Egret, the business district where Egret is located, the city where Egret is located, or the whole region. In either situation, Egret plans to continue in business, transfer operations to its clearing or lending firm(s) if necessary and notify you through the Firm’s website how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, Egret will assure the Firm’s customers’ prompt access to their funds and securities.

For more information – If you have questions about Egret’s business continuity planning, you can contact us at smichaels@egretsecurities.com