

## Business Continuity Plan Disclosure

Financial Northeastern Securities, pursuant to FINRA Rule 3510, has developed a Business Continuity Plan (BCP) as part of its ongoing efforts to mitigate / prevent the impact of events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are 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 summary of our BCP.

**Contacting Us** – If after a significant business disruption you cannot contact us as you usually do, you should call our home office at (973) 882-9337. If you cannot contact our home office you should call our alternative number (614) 726-7350. You may also visit our web site, [www.financialnortheastern.com](http://www.financialnortheastern.com), for important announcements and instructions. If you cannot access us through either of those means, you should contact our clearing firm Pershing LLC at (800) 445-4467 for instructions on how they can provide prompt access to your funds and securities, liquidating orders, check and wire requests, and ACAT transfers. You may contact J.P. Morgan Clearing Corp at (800) 634-1428.

**Our Business Continuity Plan** – We plan to 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 BCP 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; mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical locations; critical supplier, contractor, bank and regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Financial Northeastern Securities clears its broker/dealer business on a fully disclosed basis through Pershing LLC. Depending upon the severity of the disruption, our BCP is designed to permit our firm to resume operations as quickly as possible. For more severe cases, our plan relies on the BCP of Pershing LLC.

Pershing LLC has technology located in multiple facilities which provides the redundancy necessary to protect their important customer records. These facilities are located far enough apart to mitigate the risks caused by a localized business disruption. While every emergency poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by Pershing LLC that its objective is to restore its own operations and be able to complete existing transactions and payments. Your orders and requests for funds and securities may be delayed during this period.

**Varying Disruptions** – Significant business disruption 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 Financial Northeastern Securities branch office 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 Financial Northeastern Securities branch office outside of the affected area, and expect to recover and resume business within 48 hours. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site, [www.financialnortheastern.com](http://www.financialnortheastern.com), or our customer emergency number, (973) 882-9337, about how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers prompt access to their funds and securities.

**Disclaimer** – Please note that there can be no assurances that our BCP will be fully effective in mitigating all risks, or that we will be able to fully resume our business activities within our planned timeframes.

**For More Information** – If you have questions about our business continuity planning, you can contact us at (973) 882-9337 or (800) 362-4141.