

# Business Continuity Planning

## Summary & Disclosure

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**A.G.P. / Alliance Global Partners** (“the Firm” or “A.G.P.”) maintains a **Business Continuity Plan** (“BCP”) that addresses how we respond to events that significantly disrupt our business, primarily considering commercial and regulatory obligations, the needs of customers, and the safety of our staff. Understanding it is impossible to anticipate every type of disaster scenario, we are prepared to be flexible in responding to events as they occur, as the timing and impact of disasters can be unpredictable.

**Our BCP anticipates varying significant business disruptions (“SBD”) most likely to affect the Firm**, based on the nature, scale and complexity of our business, and proactively mitigates against their impact.

### **OUR BUSINESS CONTINUITY PLAN**

**Overview of Business Continuity Plan:** The Firm’s goal in responding to a Significant Business Disruption (“SBD”) is to safeguard the Firm’s employees and property, safeguard customer assets, make a financial and operational assessment of the situation, protect the Firm’s books and records, and allow the Firm’s customers to transact business. The BCP is designed to allow the Firm to resume operations as quickly as possible, given the scope and severity of the SBD.

The BCP addresses the following areas: (i) data backup and recovery; (ii) mission critical systems; (iii) financial and operational assessments; (iv) alternative communications with customers, employees, and regulators; (v) alternate physical location of employees; (vi) critical supplier, contractor, bank and counterparty impact; (vii) regulatory reporting; and (viii) providing the Firm’s customers prompt access to their funds and securities if the Firm is unable to continue its business.

**Varying Disruptions:** SBDs can vary in their scope and magnitude. They may affect only the Firm, a single building housing the Firm, the business district where the Firm is located, the city where the Firm is located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. For example, if there is a local power outage, the Firm may continue operations utilizing on-site backup power systems. If the building housing the Firm is deemed inoperable, the Firm may transfer operations to an alternative local site if necessary. In a disruption affecting the Firm’s business district, city, or region, the Firm may transfer operations to a site outside of the affected area. In any situation, the Firm plans to attempt to continue business and notify customers through the Firm web site or any other means that remain available. If the SBD is so severe that it prevents the Firm from remaining in business, the Firm will work to assure customers prompt access to their funds and securities.

**Contacting Us** - If after a significant business disruption, you cannot contact us at (212) 624-2060, you may call our toll-free number (800) 727-7922 or our customer service alternate line (203) 662-9700; A.G.P. may also be contacted by email at [info@alliancecg.com](mailto:info@alliancecg.com).

If you are unable to access one of our websites or reach a representative via the alternative methods provided hereto, you should contact your Clearing Firm for information on how to gain access to your information and services. Provided below is the contact information for the firm's which we currently maintain a clearing relationship:

National Financial Services LLC  
200 Seaport Boulevard  
Boston, MA 02210  
(800) 877-2410  
<https://www.fidelity.com> (Website)

Interactive Brokers LLC One Pickwick Plaza Greenwich, CT  
06830  
(212) 407-5000  
[www.interactivebrokers.com](http://www.interactivebrokers.com) (Website)

RBC Capital Markets, LLC  
60 South 6th Street  
Minneapolis, MN 55402  
612-607-8575 (T)  
612-607-8084 (F)  
[www.rbc.com](http://www.rbc.com) (Website)

Mirae Asset Securities (USA) Inc.  
810 Seventh Avenue, 37<sup>th</sup> Floor  
New York, NY 10019  
212-407-1000 (T)  
<https://miraeassetsecuritiesus.com/> (Website)

**This summary is furnished to assist you in making an educated decision about engaging A.G.P., in accordance with the disclosure requirements of FINRA Rule 4370(e).** We disclose in writing a summary of our BCP to customers at account opening, post the summary online, and mail it to customers upon request. If you have questions about the Firm's business continuity planning, or if you wish to receive a copy, you can contact us by writing to A.G.P. / Alliance Global Partners at 88 Post Road West, 2nd Floor Westport, CT 06880 or calling us at 800-727-7922.