

## **Mid-Atlantic Securities Business Continuation Plan Summary**

In the event of a significant business disruption to our usual business activities we have a plan in place to insure that we will still be available to our clients and that our electronic files will still be available to us and our clients. As we do not have custody of client securities and cash we will have access to contacts at our clearing firm in order to communicate with them any orders that our clients submit to us.

Securities Industry regulations require each member firm to create and maintain a business continuity plan reasonably designed to meet its obligations to its clients. In accordance with these requirements, Mid-Atlantic Securities, Inc. has designed a Business Continuity Plan to address possible scenarios in efforts to minimize any service impact on our clients.

The Business Continuity Plan for Mid-Atlantic Securities, Inc. (MAS) addresses these key areas of concern:

- Alternate means of communication between MAS and its clients
- Alternate means of communication between MAS and its employees
- Alternate means of communication between MAS and other brokers in other offices
- Alternate physical locations of employees
- Communications with our clearing firm
- Critical business constituent and bank impact
- Regulatory reporting
- Communications with regulators
- How MAS will ensure clients have access to their funds and securities

In the event of an office disruption in our home office we will have an office set up offsite. Our principals will disclose this office location. We plan to continue regular business activities within a few hours of a disruption or as quickly as conditions allow us to resume communications. These activities can be conducted by telephone or by internet from another location or from any of our branch locations.

In the event of a city or regional disruption other Mid-Atlantic offices can be contacted. These are as follows:

- Raleigh, NC (home office)– 919-783-7787
- Southern Pines, NC – 910-692-1052
- Gloucester, VA – 804-693-6868
- Roanoke, VA – 540-344-4422
- Culpeper, VA – 540-829-6134
- Charlottesville, VA – 434-295-2091

Little Neck, NY – 718-631-4000  
Gallatin, TN – 718-631-4000

Our clearing firm will provide prompt access to client funds and securities. Its plans for continuing its businesses in case of a significant business disruption are also in place. Our firm has access to these and the alternative numbers where they can be reached. Our contact at Raymond James Financial is Linda Van Oosting – 1-800-248-8863, ext. 73990. This plan is subject to modification. Any updates will be posted to our website – [www.midatlanticsecurities.com](http://www.midatlanticsecurities.com)

A copy of our entire business continuation plan is available to you upon request.