

Business Continuity Plan Summary Disclosure

Overview

Independent Brokerage Solutions LLC (“IndieBrokers,” the “Firm”) has created and implemented a business continuity plan (“BCP”) in an effort to mitigate the effects related to unforeseen business interruptions. This BCP is designed to enable the Firm to continue business operations in the event of an emergency or significant business disruption (“SBD”).

Contacting Us

If after a significant business disruption, you cannot contact us as you usually do at 212-751-4424 or BLyons@indiebrokers.com, you should call our alternative number at 212-751-4422; or, 516-885-4363.

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; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact and 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 area, and recover and resume business within 48 hours. In either situation, we plan to continue in business, and notify you through our website.

For More Information

If you have questions about our business continuity planning, you can contact us at 212-751-4424 or BLyons@indiebrokers.com.