



Business Continuity Planning - Overview

Merrion Securities, LLC has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is 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 information on our business continuity plan.

Contacting Us – If you cannot contact us after a significant business disruption, please call our clearing firm, J.P. Morgan Clearing Corp at 212-552-1919 for information and instruction on future business transactions with our firm

Our Business Continuity Plan – In the event of a major business disruption, we will safeguard our employees and property, make a financial and operational assessment, protect or restore our firm’s books and records, and allow our customers to transact their business. Our continuity plan permits our firm to resume operations quickly and efficiently.

Our business continuity plan addresses: data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; bank and counter-party impact; regulatory reporting; and customer assurance.

Our clearing firm, J.P. Morgan Clearing Corp, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, our clearing firm advises us that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments as soon as possible. Customer orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant Business Disruptions can vary in their scope. Disruptions may include, but are not limited to, 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. 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. In either situation, we plan to continue business, transfer operations to our clearing firm if necessary, and notify our customers of the changes. If a business disruption is so severe that it prevents us from remaining in business, we will assure our customer’s prompt access to their funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at 908-654-0033 or acogliati@merriongroup.net.