



Popular Securities, Inc. has developed a Business Continuity Plan for all of its business. This plan is regularly reviewed and updated to address any material changes in the business or in key personnel. In the event of a business disruption, we have plans designed to allow us to continue operations of critical business functions, such as entering client orders, completing securities transactions and providing clients access to their cash and securities. We will accomplish this by:

- Relocating impacted business units to designated back-up facilities or alternate locations,
- Activating emergency and technology teams that are responsible for implementing actions plans and strategies, as needed,
- Adopting a communication plan with alternate communications means between Popular Securities' employees and customers, including emergency notifications to customers via a variety of sources, such as announcements in local newspapers and website,
- Ensuring that clearing firms and custodians maintain business continuity plans as well as back up recovery capabilities,
- Making financial and operational assessments,
- Rehearsing our emergency plan and recovery procedures

Contacting Us- Please follow these steps in the event of a significant business disruption: (1) Call your financial consultant or contact person number, (2) if you are unable to reach them, you should contact us at 787-758-7400 or 1-800-981-7400 for our Puerto Rico operations and at 212- 417-6860 for our US operations (3) if you are unable to reach us at these numbers, you may call the following emergency numbers: 787-648-3334 or 787-648-3335 or write an email to securities@bppr.com.

Our Business Continuity Plan – Our business continuity plan addresses: all mission critical systems; data back up and recovery; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Varying Disruptions –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 four (4) 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 one (1) day. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, in which case, we will notify you through a local newspaper. If the significant 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.

Should you have any questions concerning the business continuity plan, please submit a written request or call your broker for details.