



**Carey Securities Inc. (Carey) - Business Continuity Planning**

Pursuant to FINRA Rule 4370 Carey 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 are unpredictable, we will be flexible in responding to actual events as they occur. We are providing you with this information on our business continuity plan.

Contacting Us – After a significant business disruption contact Carey at (407) 395-5510 or go to our web site at [www.careysecuritiesinc.com](http://www.careysecuritiesinc.com).

**Our Business Continuity Plan** – Carey will quickly recover and resume business operations after any significant business disruption after making an operational assessment, protecting the firm’s books and records, and allowing our customers to transact business. The business continuity plan is designed to permit our firm to resume operations as quickly as possible, after assessing the scope and severity of the significant business disruption.

The 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, banks 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.

Carey backs up our important records. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, our objective is to restore operations and be able to complete existing transactions and accept new transactions and payments within 2 hours. Your orders and requests for funds and securities could be delayed during this period.

If you have questions about our business continuity planning, you can contact us at (407) 395-5510 or at [info@careysecuritiesinc.com](mailto:info@careysecuritiesinc.com).

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