

Business Continuity Planning

Summary & Disclosure

A.G.P. / Alliance Global Partners (“the Firm” or “A.G.P.”) maintains a **Business Continuity Plan** (“BCP”) that addresses how we respond to events that significantly disrupt our business, primarily considering commercial and regulatory obligations, the needs of customers, and the safety of our staff. Understanding it is impossible to anticipate every type of disaster scenario, we are prepared to be flexible in responding to events as they occur, as the timing and impact of disasters can be unpredictable.

Our BCP anticipates varying significant business disruptions (“SBD”) most likely to affect the Firm, based on the nature, scale and complexity of our business, and proactively mitigates against their impact.

A.G.P.’s business continuity practices are in compliance with FINRA Rule 4370, which requires members to make appropriate arrangements to meet existing obligations in response to SBDs of varying scope.

OUR BUSINESS CONTINUITY PLAN

We plan to quickly recover and resume business operations in the event a disaster or SBD interrupts our business activity and customer service, and respond by safeguarding our employees and property, making a financial and operational assessment, protecting books and records, and allowing customers to transact business. In essence, our BCP is designed to permit A.G.P. to resume operations as quickly as possible, given the scope and severity of the SBD.

📞 **Contacting Us** ☒ If after a significant business disruption, you cannot contact us at (212) 624-2060, you may call our toll-free number (800) 727-7922 or our customer emergency line (203) 662-9700; A.G.P. may also be contacted by email at info@allianceg.com or info@europac.net, its other domain name. If you cannot reach us through any of the means listed above, you should contact our clearing firm National Financial Services LLC (“NFS”), a Fidelity Investments company, at (800) 877-2410 and visit www.fidelity.com for instructions on how NFS may provide prompt access to funds and securities, enter orders and process other trade-related cash and security transfer transactions.

Our BCP addresses: data backup 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; providing customers prompt access to their funds and securities if we are unable to continue our business; and mission critical systems.

A.G.P.’s mission critical systems are designed to ensure prompt and accurate processing of securities transactions, including order taking, entry, access and maintenance of customer accounts, and the delivery of funds and securities, and generally enables firm representatives to enter orders from remote locations on behalf of clients by electronic or telephonic means with either our main office or directly with our clearing firm. If telephone service is available during an SBD, our registered representatives or associated persons will receive customer orders or instructions and contact our clearing on your behalf—if only web access is available, we will

post on our site that customers may directly access funds and securities by contacting NFS, and make such information available through our disclosure policy.

❖ **Varying Disruptions.** SBDs vary in scope, timing and severity and are predicated on a variety of factors, as every emergency situation poses a unique set of challenges. Events that disrupt business operations firm-wide or only impact a single office building, such as a fire, are considered internal SBDs and only affect the Firm's ability to communicate and do business. On the other hand, external SBDs may adversely impact a business district, city, or entire region where we are located and tend to interfere in the operation of securities markets or a number of companies, such as a terrorist attack, earthquake, weather calamity or other wide-scale, regional disruptions. The magnitude of each SBD ranges from minimal to severe within each category depending on facts and circumstances. When only the Firm or a building housing one of our offices is affected, we will transfer operations to a local site as necessary and seek to recover and resume business within 24 to 48 hours. With respect to external SBAs broadly affecting our business district, city or region, we will transfer operations to one of our other offices or clearing firm if necessary, seek to resume business within five (5) business days, and notify customers accordingly. Our response to an external SBD will rely on other organizations and systems to a greater degree, in particular, the capabilities of our clearing firm.

We maintain close communication with NFS to determine the best course of action to continue carrying out transactions with their assistance and uphold duties and commitments in light of an SBD. A.G.P. does not act as custodian for customer accounts; funds and securities are maintained at NFS through its clearing and custody platform. NFS backs-up an abundance of our important records at a remote site geographically separate from our corporate office locations, and represents having the capability to conduct the same volume of business as its primary site. NFS also advises that its objective is to restore its own operations and be capable to complete existing transactions and accept new transactions and payments within 24 hours; trade orders and requests for funds and securities may still be delayed during an SBD. NFS has its own *Business Continuity Statement* available at mybrokerageinfo.com.

If an SBD is so severe that it prevents us from remaining in business, we will assure customers prompt access to their funds and securities; in this regard, A.G.P.'s membership with SIPC (Securities Investor Protection Corporation) protects against losses up to \$500,000 (including cash claims limited to \$250,000). You may obtain information on SIPC, including an explanatory brochure at www.sipc.org or by calling (202) 371-8300.

BCP SUMMARY AND DISCLOSURE STATEMENT

This summary is furnished to assist you in making an educated decision about engaging A.G.P., in accordance with the disclosure requirements of FINRA Rule 4370(e). We disclose in writing a summary of our BCP to customers at account opening, post the summary online, and mail it to customers upon request. If you have questions about the Firm's business continuity planning, you can contact us by writing to A.G.P. / Alliance Global Partners at 88 Post Road West, 2nd Floor Westport, CT 06880 or calling us at 800-727-7922.

On the Name Change: In the first quarter of 2018, the acquisition of Euro Pacific Capital, Inc. by Alliance Global, LLC was met with regulatory approval. A.G.P. / Alliance Global Partners became the Firm's primary business name in June 2018; Euro Pacific Capital emerged as a division of A.G.P. / Alliance Global Partners Corp, our new legal name effective July 2018. This summary of A.G.P.'s Business Continuity Plan also applies to its business units or groups, including without limitation, the Euro Pacific Capital division.