



60 Cutter Mill Road, Suite 210  
Great Neck, NY. 11021

### **BUSINESS CONTINUITY PLAN SUMMARY**

Stuart Frankel & Co., Inc. (the “Firm”) maintains a Business Continuity Plan (“BCP”) in accordance with FINRA Rule 4370. The provisions of this rule requires that the Firm summarizes its plan to advise its customers, should the Firm suffer a significant business disruption.

The Firm is an Introducing Broker and as such does not maintain custody of customers’ funds or securities. Further, all of the Firm’s public customers are introduced on a RVP/DVP basis. Our clearing firm is Pershing, LLC (“Pershing”) and we will contact PERSHING to verify that there are no problems with past trades or deliveries.

In the event of a significant business disruption: If after a significant business disruption you cannot contact us as you usually do at 212-968-9333 or our office at 212-943-8787 you should look for further information at [www.stuartfankel.com](http://www.stuartfankel.com) or [www.nyse.com](http://www.nyse.com). If you cannot access us through either of those means, you should contact our clearing firm, PERSHING at [www.pershing.com](http://www.pershing.com) for instructions on how it may, to the extent practicable under the circumstances, provide prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions for your customers in the event of a significant business disruption.

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, or the city where we are located, or the whole region. The firm operates on the floor of the New York Stock Exchange and may operate from its branch office.

For a business district, citywide business disruption and/or regional business disruptions resulting in the closing of the NYSE, the firm will make every possible effort to operate at other various exchanges or whatever means practicable. In the event of an SBD that closes the NYSE and NYSE AMERICAN (the “Exchanges”) please refer to the NYSE website at [www.nyse.com](http://www.nyse.com) and [NYSE Rule 48](#).

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 as soon as practicable. 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 as soon as practicable. In either situation, we plan to continue in business, transfer operations to our clearings firm if necessary, and notify you of our plans. 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 information about their transactions

Our clearing firm, PERSHING, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and within the same business day. Your orders and requests for executions could be delayed during this period.