

Tradier Brokerage Inc. Business Continuity Planning

Tradier Brokerage Inc. (TBI) has developed a Business Continuity Plan on how the firm will respond to events that significantly disrupt the business. Since the timing and impact of disasters and disruptions is unpredictable, the firm will have to be flexible in responding to actual events as they occur. With that in mind, the firm is providing you with this information on the business continuity plan.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at 980-272-3880 or via email, you should contact us at 704-496-9654. If you cannot contact us at that number, please contact the clearing firm. Their contact information is Apex Clearing Corporation, 350 North St Paul Street, Suite 1300 Dallas, TX 75201. The main telephone number is 214-765-1009.

The Business Continuity Plan – The firm plan is to quickly recover and resume business operations after a significant business disruption and respond by safeguarding the employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing the customers to transact business. In short, the business continuity plan is designed to permit the firm to resume operations as quickly as possible, given 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, bank and counter-party impact; regulatory reporting; and assuring the customers prompt access to their funds and securities if the firm is unable to continue the business.

Varying Disruptions – Significant business disruptions can vary in their scope, affecting only the firm, a single building housing the firm, the business district where the firm is located, the city where the firm 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 the firm or a building housing the firm, the firm will transfer the operations to a local site when needed and expect to recover and resume business within as soon as practical. In a disruption affecting the business district, city, or region, the firm will transfer the operations to a site outside of the affected area, and recover and resume business within as soon as practical. In either situation, the firm plan to continue in business, transfer operations to the clearing firm if necessary, and notify you through the firm’s site to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, the firm will assure the customer’s prompt access to their funds and securities via the respective clearing firm.

For more information – If you have questions about the business continuity planning, you can contact us at 980-272-3880.