

Whitaker Securities LLC
Business Continuity Plan Disclosure

Whitaker Securities LLC has developed a business continuity plan to address how we will respond to significant business interruptions, both internal and external. While any occurrence to disrupt business can vary in size and scope, we have placed together a plan to allow both flexibility and accessibility for our employees and customers.

Contact Information:

In the event an incident should significantly disrupt normal business operations, customers can contact us by calling our main number (212) 774-6200, or (516) 393-4400, or via e-mail at info@whitakersecurities.com. If we can not be reached by either of these methods, our customers can contact our clearing firms, Penson Financial Services, 1700 Pacific Avenue, Suite 1400, Dallas, TX 75201-7322, Main phone: (214) 765-1100, (800) 696-3585, Web: online.penson.com, and Pershing LLC Jersey City, New Jersey 07303-2065 Main phone: 201-624-6100 x500 Web: www.pershing.com for information on order status or access to funds and securities.

Whitaker Securities BCP

Our firm's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making a financial and operational assessment to determine operational feasibility and regulatory requirements, quickly recovering and resuming operations through the employment of our mission critical system rescue plans, protecting and/or recovering all of the firm's books and records, and allowing our customers to transact business. In the event that we determine we are unable to continue our business, we will assure customers prompt access to their funds and securities.

We are dedicated to remaining in business through all means possible in the event of an incident that disrupts normal business operations. If the business disruption is contained within the building, we will implement the plan to relocate our key employees to designated offices near our current location. It is estimated that we would be functioning within 8 to 24 hours in this scenario. Should the business district or region become inaccessible, we have arrangements in place to relocate employees to existing back up facilities or to work from their homes. It is estimated that we would be functioning within one to five business days in this scenario.

Clearing Firms

Our clearing firms, Penson Financial Services and Pershing LLC backs up and maintains records for Whitaker Securities outside the immediate region. Their business continuity plan states and they have advised us of their objective to restore their own operations immediately to 24 hours.