

## **Business Continuity Plan (BCP) Summary Disclosure**

### **Overview**

Royal Treasure Securities LLC (“RTS”; “the Firm”) has created and implemented a business continuity plan (“BCP”) in an effort to mitigate the effects related to unforeseen business interruptions. This BCP is designed to enable the Firm to continue or resume trading operations in the event of an emergency or significant business disruption (“SBD”).

### **Communications and locations of Employees during a disruption**

In the event of a SBD, RTS will communicate with its employees in several different ways. The firm will employ a calling tree, which would be implemented by management in the event of an SBD. The BCP also addresses the relocation of staff to an alternative back-up location in the New York area, which would be immediately available with all of the equipment needed to run the Firm’s client order receipt and transmission operations for an interim period of time. Recovery time for most of the applications and relocation to the alternate location is expected to range from immediate to 24 hours.

### **Communications with Customers**

RTS currently communicates with its customers using the telephone, email, Bloomberg, fax, US Mail, and in person. In the event of an SBD, RTS will assess which means of communication are still available and use the means closest in speed to the means used in the past. Additionally, if traditional communications are not available, RTS representatives will use the best available means to contact its clients in order to make contingent plans for the duration of the SBD.

### **Books & Records**

RTS maintains its hard copy books and records and electronic records primarily at its Main Office and back-up books and records at alternate locations. If records are lost as the result of a business disruption, RTS has the means to physically recover data from both physical and electronic back-up locations.

### **Vendors and Counterparties**

RTS’ BCP may need to rely upon the recovery and restoration of services provided by various critical business constituents and counterparties both at its primary and alternate locations. RTS has considered the extent to which the Firm may be able to depend upon these business relationships during an SBD as a part of its decision to do business with the constituents. Where possible the Firm has engaged and/or vetted alternate arrangements in order to avoid business disruptions in the case of a business constituent not being able to provide needed goods or services in an emergency.

### **Disclosure**

RTS’ BCP is designed to address the continued operation of the Firm in the event of an emergency situation or SBD. However, all risks of business interruption cannot be eliminated and RTS cannot guarantee that systems will always be available or recoverable following an SBD. Furthermore, RTS has no control over and must rely upon the disaster recovery plans of its various critical business constituents, vendors, clearing firms and counterparties. In the event that material changes are made to this BCP, RTS will send an updated copy to all of its clients.

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