

BUSINESS CONTINUITY PLAN SUMMARY DISCLOSURE STATEMENT

BCP - Summary Disclosure Statement - May 8, 2024

Fenix Securities, LLC (“Fenix”) has developed a Business Continuity Plan (BCP) to be able to continue conducting business in the event of a significant business disruption (SBD) or disaster. Since the timing and frequency of disasters and disruptions are unpredictable, we will exercise flexibility in responding to actual events as they occur. This Business Continuity Plan Summary Disclosure Statement provides a summary of the Firm’s risk mitigation strategy in the event of an interruption to its daily conduct of business.

Contacting Us – If, after a significant business disruption, you cannot contact us as you usually do, you should contact either party below as an alternative:

- Julian Galvez email: jgalvez@fenixsecurities.com phone: (646) 652-6561
- John Catalano email: jcatalano@fenixsecurities.com phone: (718) 306-4169

Our Business Continuity Plan (BCP)

Our plan is aimed at responding to a significant business disruption by protecting its employees and assets, assessing its financial and operational capability, and rapidly instituting recovery measures to resume operations—and therefore allow our customers to conduct business as soon as possible—while protecting the Firm’s books and records. Our Firm does not maintain custody of clients’ funds or securities.

Our BCP anticipates two kinds of business disruptions, internal and external. Internal disruptions affect only our firm’s ability to communicate and do business, such as a disastrous event that would occur within our business premises. External business disruptions prevent the operation of the securities markets or a number of firms, such as a terrorist attack, or a wide-scale, regional disruption. Our response to an external business disruption relies more heavily on other organizations and systems, and other entities with which we have agreements.

In the event of an SBD, either external or internal, Fenix will establish an ordered dependency list and begin immediately communicating relevant information with our clients, employees, critical business constituents, critical banks, critical counter-parties, and regulators. The communication options we will employ may include email, telephony (mobile and fixed line), US Postal Services (or an alternative commercial carrier), and our website.

All mission-critical systems are backed up with a copy stored offsite. Mission-critical systems are defined by us accordingly in the Business Continuity Plan. In the event of a business disruption, will be obtained and restored as needed.

Despite our efforts to create an ideal Business Continuity Plan and be able to address a significant business disruption with a greater degree of preparation, we acknowledge the unpredictable nature of disasters and the impossibility of anticipating every possible catastrophic scenario. We are confident that our measures will allow us to continue conducting business with minimum impact to our clients and business partners.

However, we cannot discount the possibility of an adverse effect to our operations by a third party’s inability to cope with a significant business disruption.

If you have any questions about our Business Continuity Planning or would like a copy of the plan, please contact us at (212) 220-7444.