



R M SECURITIES

## Business Continuity Plan Disclosure

Updated: February 7, 2024

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In accordance with applicable regulations, RM Securities, LLC (“RM Securities”) has an established Business Continuity Plan (“BCP”) that includes systems and procedures for backup and recovery of mission critical systems, data, alternate communications with clients, vendors, and employees, and alternate worksites. RM Securities’s BCP is designed to address the effects of various significant business disruptions (“SBDs”), whether internal (e.g., employee, process, function, resource, or office) or external (e.g., location, region, vendor, client, industry, or society). RM Securities’ BCP includes an incident management process and procedures, disaster recovery procedures, as well as several contingency protocols to address both internal and external SBDs.

Our BCP was designed after reviewing the potential risks and ability to recover from key losses. The BCP is reviewed by senior management for revisions at least annually. The BCP includes discussion of potential disruptions or loss to one or more processes, functions, resources, worksites, communications, key personnel, and/or critical service providers.

In the event of an SBD, our goal is to address the SBD within 24 hours. However, because events that bring about disruptions are unpredictable, we may have no ability to restore full service in the event of failures in certain external infrastructure such as utilities, communication networks, transportation, third-party providers, and other circumstances outside of our reasonable control. We do not guarantee that we will be able to continue or resume business operations within any specified period under all circumstances. In anticipation for such disruptions, we replicate critical data and technology services across various off-site locations and evaluate the resilience of these resources through testing.

During an SBD, we will assess which methods of communication(s) are available and use the means that are closest in speed and form (written or oral) to past communications to ensure stakeholder awareness and/or involvement, and respond by safeguarding our employees, securing our assets, making financial and operational assessments, and protecting the firm’s books and records. In short, our BCP is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the SBD.

For more information or if you have questions about our business continuity planning, or if you would like to request we mail this disclosure to you, you may contact us at [Info@realtymogul.com](mailto:Info@realtymogul.com).