

The Management of RRS has developed a Business Continuity Plan (BCP) to ensure that we can continue to provide client support in the event of a catastrophic event impacting our primary operation in Boca Raton, FL. The Primary risk for RRS operations is Hurricane activity between the months of June and December. Other potential risk factors, although remote, are fire, flood, tornado, and burglary. RRS' management will reassess the BCP periodically throughout the year and as business conditions dictate. The BCP addresses the following mission critical factors:

### **1. CRITICAL BUSINESS OPERATIONS/PRIMARY RESOURCES**

RRS management conducts periodic assessments of Critical business operations to identify critical hardware, software and physical location resources provide a method for continuing operations. The assessment takes into account the need for redundancies in operations, access to remote sites and reliance on third party providers for all mission critical staffing, systems, physical locations, and backup to ensure continued operations.

### **2. ONGOING MONITORING OF BUSINESS CONDITIONS**

RRS continually monitors critical hardware systems and software, third party resources, and external factors. Monitoring of servers, network and internet access is done through Dell Managed Services and our internal monitoring program. RRS also monitors FINRA's critical sites for outages to ensure the systems will be available for filing purposes. The monitoring of external factors includes real time alerts from the national weather service, Securities and Exchange Commission and when available the SROs.

The highest risk for outages is during the Hurricane season, and our process for monitoring tropical disturbances begins when the National Weather Service releases its first notice of a potential tropical disturbance. When there is the potential for a storm to impact our operations within 7 days, we will notify clients via email of the process that will be implemented in the event of an outage.

### **3. BACKUP AND REMOTE ACCESS**

RRS employs a diligent backup system and is prepared to quickly redeploy assets to remote locations. All servers are backed up nightly on an incremental basis and a full backup is completed and removed from the office on a weekly basis. During storm season, Client critical files are also stored to an encrypted portable drive so they can be accessed with the laptop PCs from remote locations. Remote access to the primary servers in Boca Raton is provided through Secure VPN connections. All critical mission staff has access to the servers through this facility.

To ensure that mission critical systems are available, or can be quickly redeployed, RRS has a plan in place to redeploy staff and hardware with necessary applications and client data to remote locations where access to regulatory and other information systems can be achieved. If necessary, RRs will relocate critical ecomputer files to a remote "cloud server" for prolonged remote access.

In the event of an actual or perceived extended outage in the Boca Raton offices, staff will be relocated to the following locations:

- Orlando Florida
- Jacksonville Florida
- Washington DC
- Atlanta, Georgia,

In the event we are placed under a *Tropical Storm Warning* (WHICH MEANS THAT TROPICAL STORM CONDITIONS ARE EXPECTED WITHIN THE WARNING AREA WITHIN 24 HOURS) or higher alert, we will likely suspend or limit operations until the storm has passed. This is to enable our staff to finalize any preparations for the storm and seek a safe location. RRS' senior management will determine the number of staff necessary to support operations and relocate them to one of the remote locations identified in the Remote Access section.

An outage in Boca should not materially affect our telecommunications. Clients will be notified with remote telephone contact information. Primary fax services (provided via webfax), email, and FINRA Applications are hosted by third parties that we will be capable of accessing from alternate locations.

#### **4. CALLING/COMMUNICATION TREE**

In the event of a potential or actual closure of the Boca Raton Office, the RRS' calling tree will be implemented. Any staff that is aware of an actual or potential office outage will contact the Primary and Secondary contacts via telephone, email and text. The Primary will contact the individuals in their contact group. In the event the Primary is unavailable, the secondary will contact those individuals under the Primary's tree in addition to their own. Once the nature and estimated duration of the outage is determined, RRS staff will contact affected clients. We will also attempt to post updates to our website [www.RRSCompliance.com](http://www.RRSCompliance.com).

Questions relating to our BCP should be directed to [LouisDempsey@RRSCompliance.com](mailto:LouisDempsey@RRSCompliance.com), or [BartMcDonald@RRSCompliance.com](mailto:BartMcDonald@RRSCompliance.com), Telephone(561)-368-2245.