

# Alterna Securities, Inc.

## BUSINESS CONTINUITY PLAN SUMMARY

Alterna Securities has developed a Business Continuity Plan on how it will respond to events that significantly disrupt its business. Since the timing and impact of disasters and disruptions is unpredictable, the Firm will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

**Contacting Us** – If after a significant business disruption you cannot contact us as you usually do at phone numbers 713-885-9843 by e-mail at: [info@alternasecurities.com](mailto:info@alternasecurities.com), you should call our alternative number 210-298-5370. If you cannot access us through these means, you should contact our Clearing Firm: Pershing LLC Correspondence Clearing at 1-888-367-2563 and [www.pershing.com/disclosures](http://www.pershing.com/disclosures), for instructions on how it may provide access to funds and securities, enter orders and process other trade-related, liquidating orders, wire requests and ACAT transfers.

**Our Business Continuity Plan** – Our Business Continuity Plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business. We plan to quickly recover and resume business operations after a significant business disruption, protecting the Firm's books and records, and allowing our customers to transact business.

**Our Clearing Firm** – Pershing LLC, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments in the shortest time possible of initiation of its disaster recovery plan. Your orders and requests for funds and securities could be delayed during this period.

**Varying Disruptions** – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business in the shorter period of time possible of the business disruption. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within the shorter time possible. In either situation, we plan to continue in business, and notify you through our customer emergency number, 713-885-9843, explaining how to contact us.

**For more information** – If you have questions about our business continuity planning, you can contact us at (713) 885-9843.

This plan is subject to modification, customers may obtain updated summaries by requesting a written copy by mail.

Updated: October 2022

**PAYMENT FOR ORDER FLOW:** Alterna Securities, Inc. does not receive payment for order flow.

**ORDER ROUTING:** If you would like information on how a particular order was routed, please send a written request to Alterna Securities, Inc.

**SIPC:** Alterna Securities, INC. is a member of SIPC, which protects securities customers of its members up to \$500,000 (including \$250,000 for claims of cash). Explanatory brochure available upon request at [www.sipc.org](http://www.sipc.org). SIPC may also be contacted at:

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