

Middlemarch Securities LLC
Business Continuity Plan Summary Disclosure

Middlemarch Securities LLC, a FINRA broker dealer firm, has developed a Business Continuity Plan (BCP) addressing how we will respond to events that significantly disrupt our operations. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. As required by FINRA, we are providing you with this summary of our BCP, also available on our affiliate's web site.

Contacting Us

Should a significant business disruption occur in the Stamford, CT or New York City, NY metropolitan areas where we have two FINRA registered branch office sites, please contact one of our Partners who would be working from a different location:

Alexander "Sasha" Grutman at sgrutman@middlemarchllc.com (212-913-9660x1 or Cell 917-734-4180)
Demetris Papademetriou at dpapademetriou@middlemarchllc.com (212-913-9660x2 or Cell 917-620-8727)

Our Business Continuity Plan

We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption and that our broker dealer does not execute real-time transaction.

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.

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. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to our staff's home office locations. 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 as quickly as possible, posting contact information on the web site.

For more information

If you have questions about our business continuity planning and/or would like to request a copy of our complete Business Continuity Plan, please contact of the Partners listed above.