

## **BUSINESS CONTINUITY PLAN SUMMARY**

### **Click IPO Securities, LLC**

Click IPO Securities, LLC (“Click IPO” or the “the Firm”) has developed a Business Continuity Plan (“Plan or “BCP”). The Plan sets forth the Firm’s policies related to business interruptions that may result from a significant business disruption (“Disruption”). This document summarizes the key features of the Plan.

In the event of a Disruption, information will be posted on the Firm’s website: [www.clickipo.com](http://www.clickipo.com)

#### **Firm Policy**

The Firm’s policy is to respond to a Disruption by: safeguarding employees’ lives and Firm property; making a financial and operational assessment; quickly recovering and resuming operations; and protecting all the Firm’s books and records.

The Plan anticipates two kinds of Disruptions, internal and external. Internal Disruptions affect the Firm’s ability to communicate and to conduct business, such as a fire in the Firm’s building. External Disruptions prevent the operation of business in general or that of any of organizations with whom the Firm transacts business, which encompasses such events as a terrorist attack, a city flood, or wide-scale regional disruption. The Firm’s response to an external Disruption relies more heavily on other organizations and systems, especially on the capabilities of the Firm’s Clearing Agent.

#### **Copies of the Plan**

Click IPO will maintain copies of its BCP and will perform annual reviews of such Plan, making changes as required to keep the Plan current and up to date. Copies of the Plan are available for inspection at the sole office of Click IPO Securities, LLC, Gainey Office Suites 1, 8601 North Scottsdale Rd., Suite 335, Scottsdale, AZ 85253. Contact Gordon Price, Chief Compliance Officer at 480 694-8546. In addition, a copy of the BCP has been provided to FINRA and may be obtained by contacting FINRA, District 3, 4600 S. Syracuse St., Suite 1400 Denver, CO 80237.

#### **The Business Continuity Plan:**

- discusses data back-up and recovery practices and safeguards,
- addresses the assessment of financial and operational risks,
- defines all mission critical systems,
- identifies business constituents, banks and counterparties,
- sets forth procedures for communicating with key stakeholders,
- addresses alternate methods of communicating with key stakeholders, including contracted selling broker-dealers, firm personnel and regulators, and
- addresses the means of restore systems, processes and records.

Disruptions can vary in severity and duration, and Click IPO is committed to restoring operations as quickly as possible given the uncertainty of any given situation.