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## **Business Continuity Plan Disclosure Statement**

January 2018

Dempsey Lord Smith, LLC (“DLS” or the “Firm”) has developed a Business Continuity Plan “BCP” to respond to significant business disruptions “SBD” of varying degrees. This document explains our process and procedures to recover from these disruptions. By their very nature, SBDs are unpredictable and vary in the degree of severity, and are in most cases not under the control of DLS.

Our Firm is a fully-disclosed introducing broker/dealer who clears, executes and settles its trades through our clearing firm National Financial Services, LLC, (NFS) located in Boston. It is unlikely that DLS and NFS would both suffer SBD’s at the same time.

Our business continuity plan includes provisions for events that affect our firm specifically, such as a fire in our building, events that affect the entire region, such as severe weather, power outages, etc., or events that affect the markets as a whole such as political crisis, terrorist attacks, etc. Our Firm has procedures to back-up our critical data electronically. We store these back-ups at an alternate location in case our offices are affected by a SBD. Should the SBD affect the state, city or region we would move essential personnel to an alternate office location. These plans are reviewed and tested to insure they meet the needs of our clients. Our clearing firm National Financial Services, LLC also has a business continuity plan that addresses these possible disruptions, including data back-up at separate geographic locations, alternate communication sites, alternate physical locations available for use. These plans are reviewed, and tested regularly to insure clients will have access to funds and securities with minimal delays. Our goal is to provide our clients with the least amount of disruption as possible, and any delays that are not affecting the markets’ ability to trade as a whole should be less than 24 hours according to National Financial Services, LLC’s BCP.

### **Contact Information**

In case of an SBD that affects our firm’s operations these are the following ways that clients can contact our firm:

- By Telephone      Rome 706.238.9575
- By Fax              Rome 706.238.9578
- By Email            Service@dempseyi.com
- Online                [www.dempseyi.com](http://www.dempseyi.com)
- In Person            901 N Broad Street, Suite 400, Rome Georgia

Dempsey Lord Smith, LLC’s full Business Continuity Plan can be obtained by request at the following address:

Dempsey Lord Smith, LLC  
C/O Business Continuity Plan  
901 N Broad Street, Suite 400  
Rome, GA 30161  
706-238-9575

Securities offered through Dempsey Lord Smith, LLC Member FINRA/SIPC  
Advisory services offered through Dempsey Lord Smith, LLC  
901 N Broad Street, Suite 400, Rome Georgia 30161