

CHARLES RIVER BROKERAGE, LLC

Business Continuity Plan Disclosure Statement

Charles River Brokerage, LLC has developed a Business Continuity Plan concerning how we would respond to events that significantly disrupt our business. 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. 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 Charles River Brokerage, LLC as you usually do at our office number of 781-425-3318, you may contact us via our website at www.crbrokerage.com. If you cannot access us through either one of those means, we will personally contact all of our business constituents via telephone to answer any questions you may have.

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 and protecting the Firm's books and records. 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 disruptions.

Our Business Continuity Plan addresses: data back-up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; bank impact; and regulatory reporting 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 of our Firm, the business district where our Firm is located, the city where we are located and the whole region. In either situation, we plan to continue in business and notify you via telephone, fax or email on how to contact us.

For more information: If you have questions about our business continuity planning or wish to review our complete Business Continuity Plan, please contact our office or send us an email at JohnMcCarty@crbrokerage.com and we will respond as soon as possible.