



BUSINESS CONTINUITY PLAN

The Financial Industry Regulatory Authority (“FINRA”) requires each of its members to disclose to customers how its business continuity plan addresses the possibility of a future significant business disruption and how the member plans to respond to events of varying scope. MD Global Partners, LLC has developed a Business Continuity Plan on how we will 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. If after a significant business disruption you cannot contact us as you usually do at 212-308-2864, you should call our alternative number 917-881-3636 or go to our website at www.mdgpartners.com. If you cannot access us through either of those means, you should contact our clearing firm, RBC for instructions on how it may provide prompt access to funds and securities, enter orders and process other trade-related, cash and security transfer transactions for your customers. If you have questions about our business continuity plan, you can contact us by email at owen@mdgpartners.com

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.

Our Business Continuity Plan Address The Following:

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 counterparty impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business. 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 a local site when needed and expect to recover and resume business within 5 business days. 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 5 business days. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our website www.mdgpartners.com or our customer emergency number, 917-881-3636.

Anti Money Laundering:

MD Global Partners, LLC. is committed to complying with U.S. statutory and regulatory requirements designed to combat money laundering and terrorist financing. The USA Patriot Act requires all financial institutions to obtain, verify, and record information that identifies each person or entity that opens an account or establishes a relationship with the Firm. Specifically, MD Global Partners, LLC is required to collect the following information: legal name, date of birth, address and identification number (TIN or SSN). A legal entity may need to provide other information such as its principal place of business, local office, employer identification number, certified articles of incorporation, government-issued business license, and a partnership agreement or a trust agreement. We may also ask for a copy of your driver's license or seek additional documentation.

Email Disclosure:

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