Business Continuity Plan Summary

Adelphi Stock Brokers Inc. (“Adelphi” or the “Firm”) has developed a Business Continuity Plan (“BCP”) designed to enable us to continue operations and safeguard customer assets in the event of a significant business disruption.

1. Customer Communication

In the event of a disruption, we will communicate with customers primarily via email, and, where appropriate, through our website and mobile application.

2. Access to Accounts and Assets

Adelphi is committed to ensuring that customers maintain access to their funds and securities. Customer assets are held in accordance with applicable regulatory requirements, and we will take all reasonable steps to facilitate prompt access in the event of a disruption.

3. Order Handling and Trading

During a disruption, customers may experience delays in order execution or account access depending on the severity of the event. We will prioritize the restoration of trading and account functionality as quickly as practicable.

4. Operational Continuity

Our BCP includes:

- Redundant systems and infrastructure
- Alternate processing capabilities
- Remote operating capabilities for critical personnel

These measures are designed to support the continued operation of essential business functions.

5. Types of Disruptions

Disruptions may be localized or widespread. In localized events, operations may shift to alternate locations. In broader disruptions, we may rely on remote systems and distributed infrastructure. If a disruption were to significantly impair our ability to operate, we will take all necessary steps to ensure prompt access to your funds and securities.

6. Contact Information

For additional information, please contact us at info@adelphis.co.

Effective Date: May 29, 2025
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