

# Business Continuity Disclosure

At Insigneo Securities, LLC (“Insigneo,” “Us,” “We”)<sup>1</sup>, we recognize that our customers rely on our systems and services for their investing needs. In accordance with applicable regulations, Insigneo has developed a Business Continuity Plan (“BCP”) to help the broker dealer respond to significant business disruptions (“SBD”). Insigneo is committed to providing the highest level of uninterrupted service and support to our customers. We recognize the potential of certain uncontrollable events that could cause varying degrees of disruption to our normal business processes, such as a severe storm, that may adversely affect the ability of our staff to report to work, or an event such as an electrical blackout, manufactured disasters, global pandemic, earthquakes, etc.

Insigneo recognizes the responsibility we have to all our customers to continue critical operations during such events, including providing access to your funds and securities. In addition, the plan addresses mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank, and counter-party impact. We intend to meet this obligation with as minimal an impact as possible, given the circumstances and scope of any disruptive event. We have developed and maintained a Business Continuity Plan that provides effective response to a wide variety of disruptive events in a manner that protects staff, assets, and the interests of our customers. The plan is designed to be robust enough to cover business disruptions that may range from the inability to operate from a single building to more widespread events that impact the financial industry in an entire city or geographic region.

As part of its ongoing effort to protect all of our customers, Insigneo has designated personnel responsible for the implementation and ongoing enhancement of our BCP and strategy. Key to this strategy is our ability to continue operations and activities from a number of alternative sites.

In addition, Insigneo is highly regulated by a variety of agencies, including, but not limited to the Financial Industry Regulatory Authority (FINRA) and the United States Securities and Exchange Commission (SEC). We are subject to reviews by both internal reviewers and external regulators which include the examination of our BCP. As we have noted above, to better serve all of our customers and ensure they will have access to their funds and securities in the event of any disruptions, Insigneo has spent significant resources and employee time to plan and prepare for uninterrupted service.

During a significant business disruption, you may contact Insigneo personnel at (305) 373-9000 or contact your investment professional directly. These lines and other critical Insigneo telephone numbers will be redirected to

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<sup>1</sup> Insigneo Financial Group, LLC comprises a number of operating businesses engaged in the offering of brokerage and advisory products and services in various jurisdictions, principally in Latin America. Brokerage products and services are offered through Insigneo Securities, LLC, headquartered in Miami, member of the Financial Industry Regulatory Authority (FINRA) and Securities Investors Protection Corporation (SIPC) <https://www.sipc.org/>. Investment advisory products and services are offered through Insigneo Advisory Services, LLC, an investment adviser registered with the Securities and Exchange Commission. In Uruguay, advisory services are offered through Insigneo Asesor Internacional S.A., Insigneo Gestor Internacional S.A., Insigneo Asesor Latam S.A., and Insigneo Asesores de Inversion de Uruguay, SRL, in Argentina through Insigneo Argentina, SAU and in Chile through Insigneo Asesorias Financieras, SPA. Collectively, these eight operating businesses make up the Insigneo Financial Group. To learn more about the Broker Dealer including its conflicts of interest and compensation practices, please go to <https://insigneo.com/disclosures/> or [www.finra.org](http://www.finra.org). To learn about Insigneo Advisory Services, LLC and any conflicts related to its advisory services, please see its Form ADV and brochure which can be found at Investment Advisor Public Disclosure website <https://adviserinfo.sec.gov/>

alternative numbers in order to be able to service your account. If you cannot access us through these means, you should contact our clearing firm, Pershing, LLC.

Name	Address	Phone Number	Email
Pershing, LLC	P.O. Box 2065 Jersey City, New Jersey 07303-2065	<b>Customer support:</b> (201) 413-3635 Fax: (201) 413-5368	<a href="mailto:general.customer.service@bnymellon.com">general.customer.service@bnymellon.com</a>

To access the Business Continuity Disclosure for Pershing, click on the following link [Pershing Business Continuity Disclosure](#)

Our Business Continuity Plan is constantly being reviewed to ensure appropriate enhancements as technology improves, business plans evolve, or regulatory requirements change. As necessary, we will revise our Business Continuity Plan and update our Business Continuity Disclosure. For further information about our BCP, please contact [compliance@insigneo.com](mailto:compliance@insigneo.com).

Thank you for choosing Insigneo as your financial services partner. We look forward to continuing to meet your financial needs.