



The RRS Business Continuity Plan (BCP) ensures uninterrupted client support during catastrophic events affecting our operations at the main office in Deerfield Beach, FL, and remote staff locations. The BCP is reviewed periodically and updated as needed.

Key Components

1. Critical Business Operations & Resources

Assessment: Regular evaluations identify essential hardware, software, and physical locations.

Redundancy: Plans include backup systems, remote site access, and third-party providers for staffing, systems, and data.

Continuity: Ensures ongoing operations regardless of local disruptions.

2. Ongoing Monitoring

Systems: Continuous monitoring of hardware, software, and third-party resources.

Security: SonicWall and Microsoft 365 Defender provide remote management and real-time threat detection.

External Alerts: Real-time updates from the National Weather Service, SEC, and SROs.

Regulatory Sites: FINRA's critical sites are monitored for outages to maintain filing capabilities.

3. Hurricane & Severe Weather Response

Early Warning: Monitoring begins with the first National Weather Service notice of a tropical disturbance.

Client Notification: If a storm may impact operations within seven days, clients are notified by email about contingency procedures.

4. Backup & Remote Access

File Storage: Client-critical files are stored on Microsoft-hosted SharePoint sites, minimizing impact from local outages.

Remote Access: Secure VPN with Multi-Factor Authentication enables staff to access office resources remotely.

Cloud Services: Microsoft 365 Enterprise and Azure are used for storing corporate and client files during outages.

Staff Redeployment: Staff can be quickly relocated to alternate remote locations to maintain access to regulatory and information systems.



5. Storm Alert Protocol

The primary risk to our main office is hurricane activity (June–December), with additional risks including fire, flood, tornado, and burglary.

Tropical Storm Warning: Operations may be suspended or limited to allow staff to prepare and seek safety.

Staff Relocation: Senior management determines staffing needs and relocates personnel as necessary.

6. Telecommunications & Client Communication

Telecom Continuity: Outages should not affect telecommunications; clients receive updated remote contact information.

Third-Party Hosting: Email and FINRA applications remain accessible from alternate locations.

7. Communication

Activation: In case of office closure, the RRS calling tree is implemented.

Notification: Generally, all staff will be contacted simultaneously via text, Teams, email and phone.

Client Updates: Once the outage's nature and duration are known, affected clients are informed. Updates may also be posted on www.RRSCompliance.com or via LinkedIn.

Contact Information

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