

Business Continuity Summary Statement

The Business Continuity Plan Summary Disclosure Statement ('the Plan') provides a summary detail on Seminario Securities LLC ("Seminario") risk mitigation strategy in the event of interruption(s) to daily business operations. Seminario's BCP Plan is designed to respond to a Significant or Material Internal or External Business Disruption (SMBD) by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the firm's books and records, and allowing our customers to transact business. The Plan is intended to comply with obligations pursuant to regulatory rules and requirements as promulgated by the Financial Industry Regulatory Authority (FINRA), particularly Rule 4370.

Our Plan anticipates various types of SMBDs (i.e. internal and external). Internal SMBDs affect only our firm's ability to communicate and do business, such as a fire, loss of power and flooding (pipes) in our building. External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, or a wide-scale, regional disruption. Our response to an external SMBD relies more heavily on other organizations and systems, especially on the capabilities of our clearing firm, Pershing LLC, and other sponsor providers with whom we have agreements. Our firm does not maintain custody of clients' funds or securities, which are maintained at our clearing firm. In the event of an SMBD where you are unable to reach CSI and have an account held directly at our clearing firm, you are encouraged to call the custodian's direct number found on your account statement.

In the event of an SMBD, either external or internal, Seminario shall establish an ordered dependency list and begin immediately communicating pertinent information with our clients, employees, critical business constituents, critical counterparties, and regulators. The communication options we will employ may include, telephone voice mail, email, fax and US postal mail service.

All mission-critical systems are backed up and a copy is stored offsite. Mission-critical systems are defined by Seminario. In the event of an SMBD, these backups will be obtained and restored as necessary.

Regardless of all the effort put forth on this vital concern, we acknowledge that no disaster recovery plan is perfect. The unpredictable nature of disasters precludes absolute preparedness for any plan. Certain situations may arise that affect outside entities upon which we rely for some service or collaboration. It is possible for circumstances to arise outside of what has been defined within the Plan.

Pershing maintains a business continuity plan, which includes geographically dispersed data centers and processing facilities. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 4 hours or less, depending on the availability of external resources. Your orders and requests for funds and securities could be delayed during this period.

Contacting Us – If after a significant business disruption, you cannot contact us as you usually do at 786-292-0512, You can reach us through any of the following contact methods:

- via our main office line at 786-292-0512,
- via email at compliance@seminariosecurities.com
- via our website: www.seminariosecurities.com ; or
- directly through your Seminario registered representative

To access our Business Continuity Disclosure, please visit our website, www.seminariosecurities.com, under Disclosures. If you cannot access it through either of those means, you should contact our clearing firm, Pershing, LLC (“Pershing”) at (201) 413-3635 or access the information located in the Business Continuity and Other Disclosures link on the Pershing website at <https://www.bny.com/pershing/us/en/disclosures.html> for instructions on how Pershing may process limited trade-related transactions, cash disbursements, and security transfers for your account(s).

For more information – If you have questions about our business continuity planning, you can contact us at compliance@seminariosecurities.com.