

Contingency Plan For Emergency Management

Popular Securities LLC, has developed a Business Continuity Plan that covers how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are 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.

Our business continuity plan includes the following:

- Relocate the affected business facilities to other or alternate business centers.
- Activating emergency and technology teams, whose mission is to execute the action plans and strategies.
- Adopting a communication plan, which includes communication for employees, customers, and regulatory agencies, such as notifications through multiple sources, announcements in local newspapers, the Internet, and Popular Inc.'s social media networks.
- Ensuring that companies contracted for transaction processing and clearing firm maintain contingency plans and alternate facilities for information retrieval.
- Performing financial and operational evaluations.
- Testing our contingency plan and recovery procedures.

Communicating with our offices

Follow these steps in case of emergency: (1) call your financial consultants' contact numbers (2) if you cannot communicate with them, you should call **787-758-7400** or **1-800-981-7400**. (3) if you are not able to get through using those numbers, you may call our emergency lines **787-648-3334**, **787-648-3335**, or (4) send an e-mail to popular_securities@popular.com

Our contingency plan

We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees, our client's assets and property of the Firm, making a financial and operational assessment, protecting the Firm's books and records, and allowing business to continue. In short, our business continuity plan is designed to permit our Firm to resume operations as soon as possible, considering the scope and severity of the significant business disruption.

