

## CONTINGENCY PLAN FOR DISASTER MANAGEMENT

Popular Securities, Inc. maintains a contingency plan, for all areas of operation that is put in place in the event of a natural disaster. In case of emergency, the firm has designed a plan in order for all primary services and functions to work as usual such as, receiving client instructions, completing trading transactions and providing access to investment instruments. We achieve this by following the plan below.

- Relocating the damaged business facilities to other alternative areas.
- Activating emergency equipment whose job is to execute the action plans and strategies in place.
- Adopting a communication plan that includes various alternative methods of communication for employees and clients, such as: notices that will be sent through newspaper publications and internet services among others.
- Making sure that the companies hired for the processing of transactions and investment custody services maintain alternate contingency plans in order to recuperate any information needed.
- Performing periodic financial and operational evaluations.
- Rehearsing the emergency plan and recuperation procedures.

**Communicating with our offices-** Follow these steps in case of emergency: (1) Call your financial consultants' contact numbers. (2) If you are not able to communicate with him, you should call **787-758-7400** or **1-800-981-7400** (individuals) or **787-766-4200** (corporations). (3) If you are not able to get through using those numbers you may call our emergency lines: **787-648-3334** or **787-648-3335**, or send an e-mail to: [securities@bppr.com](mailto:securities@bppr.com).

**Our contingency plan-** Our plan includes alternate procedures for critical systems, duplication and recuperation of information, operational and financial evaluations, alternate methods of communication with employees, clients and regulators; alternate centers of operations, suppliers impacted, bank and other groups, writing of report to regulators, and access to investment instruments in the event that operations are not able to run as usual.

**Types of disasters-** In case of disasters that affect our fiscal facilities, we will transfer operations to an alternate service site and expect to resume operations within (4) four hours. In case of a regional disaster, that may affect our district, we will do everything possible to transfer operations outside of the affected region and hope to resume operations within (1) one day. In both situations, we expect to continue operating and if necessary transfer our services to our clearing firm, in which case we will inform our clients by ways of a local communication vehicle.

Shall you have any doubts regarding our contingency plan, you may contact your financial consultant or call Popular Securities for more information.