
Chaffe Securities, Inc.

Business Continuity Plan (BCP)

November 2024

PREFACE

Despite the efforts of business and governments to renovate, validate, and implement their mission critical information systems, the financial industry remains susceptible to disruption of its business processes. Because most companies in the financial industry are highly dependent on information technology to conduct business, a failure of one or more mission critical systems induced by a business disruption may have a profound impact on a financial services firm's ability to deliver core business services.

Because of these risks, the United States Securities and Exchange Commission ("SEC") and Financial Industry Regulatory Authority ("FINRA") have implemented programs to mitigate the risks associated with financial industry business failures caused by such an event. Specifically, the SEC has required each FINRA member to create and maintain business continuity plans and supply FINRA with emergency contact information.

The purpose of the business continuity planning process is to assist Chaffe Securities, Inc. to prepare for a potential crisis and to reduce the risk of business failures resulting from business disruptions. It safeguards a company's ability to produce a minimally acceptable level of outputs and services in the event of failures of internal or external mission critical information systems and services.

I. Emergency Contact Persons

Executive management is mindful of the potentially devastating financial, organizational, and political consequences of the failure of one or more mission critical information systems. The two emergency contact persons for CSI are:

Name	Title	Mailing Address	Email Address	Direct Dail No.	Cell Phone	Fax No.
G. F. Gay Le Breton	President, Director	201 St. Charles Ave., Suite 1410 New Orleans, LA 70170-1410	glebreton@chaffe-associates.com	(504) 526-1618	(832) 496-3823	(504) 524-7194
Vanessa Brown Claiborne	VP, CFO, Director	201 St. Charles Ave., Suite 1410 New Orleans, LA 70170-1410	vclaiborne@chaffe-associates.com	(504) 526-1623	(504) 491-4207	(504) 524-7194

The Emergency Contact Persons will be reported to FINRA through FINRA's Contact System at www.finra.org/fcs.asp, and by Deirdre Patten (the "Executive Representative" for CSI). The Executive Representative will promptly notify FINRA of any change in this information through FCS (but no later than 30 days following the change) and will review within 17 business days of the end of each year. If at any time during the year, the Emergency Contact Persons information has changed or new individuals are appointed, the contact system will be updated promptly.

II. Firm Policy

The policy of CSI is to respond to a Significant Business Disruption ("SBD") 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 to the extent practicable, allowing our clients to transact business as soon as possible following such SBD. In the event that CSI determines that it is unable to continue its business, the Firm will take steps to assure clients prompt access to investments and the underlying issuers of those investments.

A. Significant Business Disruptions (“SBDs”)

The Plan anticipates two kinds of SBDs, internal and external. Internal SBDs affect only the ability of CSI to communicate and do business, such as a fire in its building. External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a city flood, pandemic, or a wide-scale, regional disruption. The response of CSI to an external SBD relies more heavily on other organizations and systems.

B. Plan Location and Access

Consistent with FINRA Rule 4511 (General Requirements), CSI will maintain copies of its BCP, any modifications that have been made to the BCP and the annual reviews for inspection, and the BCP will be made available promptly upon request by FINRA and/or SEC staff. An electronic copy of the BCP is also available to all employees and is located on CSI’s main server drive labeled “I,” in sub-directory labeled “Chaffe Securities,” and in the folder named “Business Continuity Plan.”

C. Plan Approval and Annual Reviews

G. F. Gay Le Breton, a registered principal and member of senior management, is responsible for approving the plan and for conducting the required annual review. CSI will update the BCP whenever there is a material change to the operation, structure, business or location of the Firm. In addition, CSI will review this BCP annually to modify it to address any changes in the operation, structure, business, or location of the Firm.

III. Business Description

CSI is registered as a broker/dealer with the SEC, various other state regulatory jurisdictions, and is a member of FINRA. CSI is organized as a corporation and is organized in the state of Louisiana.

The Firm engages in the following types of business:

- Mergers and acquisitions advisory services; and
- Private placements of securities.

CSI maintains at least \$5,000 in accordance with the Firm’s minimum net capital requirement. CSI is a limited broker/dealer and operates pursuant to the exemptive provisions of Footnote 74 of the SEC Release No. 34-70073. With respect to the private placement activities of the Firm, the Firm accepts application or subscription, after making a suitability determination. All transactions are completed by the (issuer) client. In the event the Firm receives a check payable to an issuer of securities or its escrow account, the Firm has an obligation to promptly forward such funds to the intended recipient. With respect to the investment banking activities of the Firm, the Firm does not accept or enter orders, nor does it receive client funds or securities. Under no circumstances does CSI obtain and maintain custody or possession of client funds and/or securities.

CSI will engage primarily in mergers and acquisitions transactions with institutions and corporate clients involved in mergers and acquisitions transactions, but it may also engage in private placements with accredited investors on an as needed basis. As of November 2024, the Firm has 6 registered representatives of those 6 who are registered Principals.

CSI does not have a clearing arrangement as it operates pursuant to the exemptive provisions of Footnote 74 of the SEC Release No. 34-70073.

IV. Office Locations

CSI has offices located in Location #1 and Location #2.

A. Office Location #1

The Firm's home office and sole OSJ/Branch is located at 201 St. Charles Ave., Suite 1410, New Orleans, Louisiana 70170. Its main telephone number is (504) 524-1801. Primary point of contact is: Gay Le Breton at glebreton@chaffe-associates.com. The Firm engages in mergers and acquisitions advisory services and private placements at this location. CSI employees may travel to that office by means of foot, car, bus, boat, and plane. Mission critical systems located here at this location include a network server, desktop computers, phone systems and Microsoft Outlook. In the event that Location #1 Office is inaccessible, or staff is working remotely due to SBD, mail will be directed or forwarded to the alternate location or back-up location.

B. Office Location #2

The Firm has one non-branch located at 85 North Frontera Circle, The Woodlands, TX 77382. Its main telephone number is (281) 419- 6030. Primary point of contact is Deirdre Patten Kowalski at dpatten@chaffe-associates.com. This location is purely for back-office and compliance operations. No business or clients are engaged at this location.

V. Alternative Physical Location(s) of Employees

In the event of an SBD, the Firm will either move its staff from affected offices to the closest suitable location or may choose for its staff to work remotely. In this event, the Firm will maintain a list of employees working locations and contact information. The Firm maintains systems to allow for a transition to either option.

The risk of cybersecurity events may be increased due to the use of remote offices or telework arrangements. CSI will remain vigilant in its surveillance against cyber threats and take steps to reduce the risk of cyber events. Restech, the Firm's outsourced IT provider, supports the Firm as it relates to cybersecurity. The steps performed by Restech include: (1) at least bi-annual updates to firewalls and other managed infrastructure firmware such as servers (2) owned-collocated devices are updated at least bi-annually (3) critical updates generally applied within 7 days (4) Windows servers patched continuously via automated method (5) critical windows updates generally applied within 14 days (6) monitoring completed for license and warranty expirations with compatible systems (7) duo multi-factor authentication for VPN and remote desktop access required, and (8) managing anti-phishing and email protection via Proofpoint essentials and INKY services.

VI. Clients' Access to Funds and Securities

CSI does not maintain possession or custody of clients' funds or securities. Although the securities products offered by the Firm are not typically covered by SIPC, in the event SIPC determines that they are, and the Firm is unable to meet its obligations to its clients, or if the liabilities of the Firm exceed its assets, in violation of Securities Exchange Act Rule 15c3-1, SIPC may appoint a trustee to disburse the assets of the Firm to clients.

VII. DATA BACK-UP AND RECOVERY

CSI maintains its primary hard copy books and records and electronic records at 201 St. Charles Ave., Suite 1410, New Orleans, Louisiana 70170. G. F. Gay Le Breton, President and Director, is responsible for the maintenance of these books and records. The Firm maintains the following document types and forms: (i) New engagement documentation and forms; (ii) client invoices; (iii) financial records, including supporting documentation; (iv) corporate records for the Firm; (v) client documentation related to the acquisition or merger activities of clients; (vi) any documentation related to private placements; and (vii) electronically generated documents. Notwithstanding the above, documentation regarding any transaction is typically produced in duplicate electronically.

The Firm's computer and electronic records, such as computerized accounting records, electronically generated documents, and emails shall be backed up at least daily. Per the Firm's IT provider, Restech, it performs full image backup for the collocated server, the local file server, and Office 365 subscription. It also provides monthly back-up monitoring. The Firm's servers are located in the Dallas data center for Tierpoint. The live servers are located in Dallas and they are replicated with Veeam software to the Nashville location, a virtual site that holds the backups.

In the event of an internal or external SBD that causes the loss of the paper records of CSI, it will physically recover them from its back-up site. If the primary site is inoperable, the Firm will continue operations from its back-up site or an alternate location. For the loss of electronic records, CSI will either physically recover the storage media or electronically recover data from its back-up site, or, if its primary site is inoperable, continue operations from a back-up site or an alternate location.

VIII. FINANCIAL AND OPERATIONAL ASSESSMENTS

A. Operational Risk

In the event of a SBD, CSI will immediately identify the manner in which the Firm will communicate with its clients, employees, critical business constituents, critical banks, critical counter-parties, and regulators. Even though the nature of the SBD will determine the means of alternative communication, the communications options will generally include (a) the Web site for the Firm, (b) facsimile; (c) email; (d) telephone; (e) telephone voice mail; (f) cellular and mobile phone service; (g) service providers, including compliance consultants, attorneys and accountants; (e) messenger; and (f) mail service. In addition, we will retrieve our key activity records as described in the section, Data Back-Up and Recovery.

B. Financial and Credit Risk

Should an SBD occur, CSI will determine the value and liquidity of its investments and other assets to evaluate the Firm's capacity to continue to fund our operations and remain in capital compliance. The Firm will contact its critical banks and investors to apprise them of the financial status of the Firm. If CSI determines that it may be unable to meet its obligations to those counter-parties, or otherwise continue to fund the operations of the Firm, CSI will request additional financing from its investors, bank or other credit sources in order to fulfill its obligations to its clients. If the Firm cannot remedy a capital deficiency, appropriate notices will be filed by CSI with the Regulators and immediate action steps will occur, including the referral of its clients directly to the entities where their funds were invested.

IX. Mission Critical Systems

The Firm's 'mission critical systems' are those that ensure prompt and accurate processing of securities transactions, including order taking, entry execution comparison, allocation, clearance and settlement of securities transactions, the maintenance of customer accounts, access to customer accounts and the delivery of funds and securities. More specifically, these systems include:

Mission Critical System	Function	Contact Information
Global Relay	Email Archiving	Toll Free: 866.484.6630 Direct: 604.484.6630 Email: support@globalrelay.net Email: finrafirms@globalrelay.net
Firmex	Virtual Data Room	Main: 888.688.4042 Email: support@firmex.com
Office 365	Email	
Lumen	Internet Service Provider	Main: 972.455.7929 Email: blake.irwin@lumen.com
ResTech	IT Provider	Main: 504.733.5633 Email: info@restech.net
Patten Training	Compliance	Main: 281.419.6030 Email: dpatten@pattentraining.com
Gulf Coast Bank & Trust	Banking	Contact Person: Christian Briceno Main: 504.565.4652
LaPorte	Independent Auditors	Contact Person : Stacey Page, CPA, MBA Email : spage@laporte.com

A. CSI's Mission Critical Systems

1. Order Taking

With respect to the private placement activities of the Firm, CSI receives documentation from clients in the following manner: in person, via telephone, facsimile, and/or email. During an SBD, either internal or external, the Firm will continue to communicate through any of these methods that are available and reliable, and in addition, as communications permit, the Firm will keep its clients apprised of what alternatives are available to send documentation directly to the entities offering the investment products.

2. Order Entry

With respect to the private placement activities of the Firm, CSI enters application and subscription orders by recording them on paper and/or electronically and sending them to the respective entity.

In the event of an internal SBD, CSI will enter and send records to the entity offering the respective investment product, by the fastest alternative means possible, which may include email, Web site, telephonically and/or facsimile. In the event of an external SBD, the Firm will maintain the order in electronic or paper format and will deliver the order to the respective investment entity by the fastest means available when operations are resumed. In addition, during an internal SBD, the Firm may need to refer its clients to work directly with their particular investment entity for order entry.

3. Order Execution

CSI is not involved in the order execution process, therefore, it is not a mission critical system or function.

4. Other Services Currently Provided to Clients

CSI provides other services which include M&A services, fairness opinion, and consulting. The Firm will contact the clients regarding the temporary suspension of such additional services in the event of an internal or external SBD.

X. ALTERNATIVE COMMUNICATIONS BETWEEN THE FIRM AND CLIENTS, EMPLOYEES AND REGULATORS

A. Clients

CSI currently communicates with its clients using the telephone, email, the Web site, fax, U.S. mail, delivery services and in-person visits in the offices of CSI, or at the client's location. In the event of an SBD, the Firm will determine which means of communication are still available, and will use the most expedient form of communication, either written or oral, to communicate with the other party in a manner that was used in the past. For example, if CSI has communicated with a party by email, but the Internet is unavailable, the Firm will call them on the telephone and may send a paper copy in the U.S. mail of any needed records.

B. Employees

CSI communicates with its employees using the telephone, text messaging, email, and in person. In the event of an SBD, the Firm will assess which means of communication are still available and will use the most expedient means, either written or oral, to the means that have been used in the past to communicate with the other party. The Firm will also employ a call tree so that senior management can reach all employees quickly during an SBD. With respect to the call tree, a copy of the corporate telephone directory, including home phone numbers and email addresses, is attached hereto as Attachment B. G. F. Gay Le Breton, or her designee, shall contact and communicate to all supervisors. They shall be responsible for contacting and/or communicating with the people that they supervise by telephone, email, messenger, or in person.

C. Regulators

CSI is registered as a broker/dealer with the SEC, various other state regulatory jurisdictions, and is a member of FINRA (collectively referred to as "Regulators"). The Firm currently communicates with the Regulators using the telephone, email, facsimile, U.S. mail, delivery services, in person and through third-party service providers (including attorneys, accountants and compliance consultants). In the event of an SBD, CSI will assess which means of communication are still available to it and will use the most expedient means, either written or oral, to the means that have been used in the past to communicate with the other party.

With respect to regulatory reporting, CSI currently files reports with the respective Regulators in the following manner: paper copies in the U.S. mail and delivery services; electronically; using facsimile, email, and the Internet; and through service providers who provide access through the same methods. In the event of an SBD, the Firm will check with the Regulators to determine which means of filing are still available to it and will use the most expedient means (written or oral) to previous filing methods utilized by CSI. If CSI is unable contact its Regulators, it will continue to file required reports using the communications means available to the Firm. Contact information regarding the Regulators with whom the Firm files reports on a regular basis is attached hereto on Attachment C and D.

XI. CRITICAL BUSINESS CONSTITUENTS, BANKS, AND COUNTER-PARTIES

A. Business Constituents

CSI will contact its critical business constituents (businesses with which the Firm has an ongoing, commercial relationship in support of its operating activities, such as vendors providing the Firm critical services), and determine the extent to which the Firm can continue its business relationship with them, in the event of an internal or external SBD. The Firm will quickly establish alternative arrangements if a business constituent can no longer provide the needed goods or services when needed because of an SBD to them or the Firm. The Critical Business Constituents are set out below.

B. Banks

CSI has contacted its banks and lenders to determine if they can continue to provide the services and financing that the Firm may need in the event of an internal or external SBD. The bank maintaining our operating account is Gulf Coast Bank and Trust, 200 St. Charles Avenue, New Orleans, LA 70130, Christian Briceno (504) 565-4652. CSI does not maintain a special account for the benefit of clients. If the banks and other lenders are unable to provide the financing, CSI will seek alternative financing immediately from the shareholders of the Firm and/or alternative banks and lenders.

C. Counter-Parties

CSI has contacted its critical counter-parties, such as other broker/dealers, companies or entities offering investment products, or institutional clients, to determine if it will be able to carry out its transactions with them, in the event of an internal or external SBD. Where the transactions cannot be completed, the Firm will contact those counter-parties directly to make alternative arrangements to complete those transactions as soon as possible.

Third-Party Vendors

Vendor	Service	Contact Information	Critical Nature
Global Relay	Email Archiving	Toll Free: 866.484.6630 Direct: 604.484.6630 Email: support@globalrelay.net Email: finrafirms@globalrelay.net	High
Firmex	Virtual Data Room	Main: 888.688.4042 Email: support@firmex.com	High
Office 365	Email		High
Lumen	Internet Service Provider	Main: 972.455.7929 Email: blake.irwin@lumen.com	High

ResTech	IT Provider	Main: 504.733.5633 Email: info@restech.net	High
Patten Training	Compliance	Main: 281.419.6030 Email: dpatten@pattentraining.com	High
Gulf Coast Bank & Trust	Banking	Contact Person: Christian Briceno Main: 504.565.4652	High
LaPorte	Independent Auditors	Contact Person : Stacey Page, CPA, MBA Email : spage@laporte.com	High

XII. Regulatory Reporting

The firm is subject to regulation by: FINRA, SEC, and the following states: AL, CA, LA, MS, NY, NC, PA, SC, TX, and WV. We fulfill our regulatory reporting obligations using paper copies in the U.S. mail, electronic means, and the FINRA Gateway.

In the event of an SBD, we will identify whether there are any limitations on our ability to fulfill our regulatory reporting obligations. Depending on the limitations, we will employ alternate modes of communication, including [our website, phone or email], to communicate with regulators in fulfilling our regulatory reporting obligations. In the event we are unable to fulfill a regulatory reporting obligation in a timely manner we will notify our regulator at:

Regulator	Contact Person	Contact Information
FINRA	Kim Bo, Risk Monitoring Analyst FINRA - Dallas District Office	Direct: (972) 716-7657 Phone: (202) 728-8000
SEC		(800) 732-0330
STATE	<i>See Attachment D</i>	<i>See Attachment D</i>

XIII. DISCLOSURE OF BUSINESS CONTINUITY PLAN

CSI will provide a copy of the BCP disclosure document that includes reference to the Business Continuity Plan, in writing to clients upon initial engagement. The Firm will also post the disclosure statement on its Web site and will mail it to clients upon request. The disclosure statement for CSI is attached hereto as Attachment A.

XIV. SENIOR MANAGEMENT APPROVAL

In my capacity as the BCP Designated Principal for CSI, I have approved this Business Continuity Plan for CSI, effective as of the date set forth herein, as being reasonably designed to enable the Firm to meet its obligations to clients in the event of an SBD.

G. F. Gay Le Breton, BCP Designated Principal

Internal SBD – Facilities Emergency Evacuation Procedures

Emergency Evacuation Procedures

If an evacuation of any facility is necessary, follow the directions given by Lynne Tutt, the designated Fire Marshal for CSI (the “CSI Fire Marshal”). If evacuation of the space is necessary because of fire, on hearing the fire alarm bells sounding continuously, employees should:

- Evacuate the building by the nearest available fire exit. As always, if you see or smell smoke, you should proceed to one of the other fire exits. Remember, if you have visitors or contractors with you, instruct them to follow you.
- The arrangements for people with impaired mobility or pregnant women are as follows: the CSI Fire Marshall will accompany them to the stairwell at either the north or south emergency staircases. They will report this to ground floor reception and to the Building Fire Official at the assembly point at the 13th floor of the parking garage (the “Assembly Point”). A security guard or fireman will come to the floor to collect them.
- CLOSE ALL DOORS WITHOUT CAUSING DELAYS, taking risks or obstructing people behind you.
- DO NOT stop to collect personal belongings.
- DO NOT use the elevators.
- Leave the building by calmly walking to the Assembly Point.
- DO NOT re-enter the building until instructed to do so.

At the Assembly Point, report your presence to the CSI Fire Marshal who shall report to the Security Control Point that the facilities occupied by the Firm have been evacuated.

Evacuation for Bombs or Other Threats

If CSI must evacuate the building facilities because of a bomb or any other threat, it will receive instructions from the building security coordinator to:

- Evacuate the building by an exit route that will be announced if instructions are given to evacuate. Remember, if you have visitors or contractors with you, instruct them to follow you.
- DO NOT turn lights or office equipment, e.g., computers, typewriters, photocopiers ON or OFF. If they are on, leave them on; if they are off, leave them off.
- DO NOT leave handbags/briefcases/etc. behind as they could cause problems for building searches.
- DO NOT use elevators unless instructed to do so by the building security officer or the CSI Fire Marshall.
- Leave the building by calmly walking to the Assembly Point which you will receive from the Incident Control Point security staff during the evacuation.

At the Assembly Point, report your presence to the CSI Fire Marshal who shall report to the security staff that the facilities occupied by the Firm have been evacuated.

Significant Business Disruptions

Emergency During Business Hours

All personnel of CSI should follow the standard emergency evacuation procedures above. Further instructions will be given at the designated Assembly Point.

Emergency Outside of Business Hours

In an emergency involving any employee's personal safety, it is the responsibility of every employee to check in and report their whereabouts. Employees should leave a voicemail on one of the following phone lines:

G. F. Gay Le Breton	Cell Phone: (832) 496-3823
Vanessa Brown Claiborne	Cell Phone: (504) 491-4207
Home Office	Office Phone: (504) 524-1801

When leaving your initial message, please include the following information:

- Your name;
- Your contact number;
- Where you are physically; and
- Whether you have access to your voicemail and email.

Attachment A

Chaffe Securities, Inc. Business Continuity Plan Client Disclosure Statement

Chaffe Securities, Inc. ("Chaffe") has developed a Business Continuity Plan outlining how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are unpredictable, we must be flexible in responding to actual events as they occur. To that end, we are providing you with this information on our business continuity plan.

Contacting Us – If after a significant business disruption, you cannot contact us as you usually do by phone at (504) 524-1801 or by email at glebreton@chaffe-associates.com, you should call our alternate number at (832) 496-3823.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and we will respond by safeguarding our employees and property, making a financial and operational assessment, protecting the Firm's books and records, and enabling our clients to transact business. In short, our business continuity plan is designed to allow our Firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back-up and recovery; all mission critical systems; financial and operational assessments; alternative communications with clients, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank, and counter-party impact; regulatory reporting; and assuring our clients prompt access to their investments if we are unable to continue to conduct our business.

Because you invest directly, the entities in which you have invested are responsible for those records they maintain on your behalf. Additionally, when you invest with our assistance, we take specific steps to assure that you have paper or electronic copies of everything that you have signed and/or obligated yourself to, thereby giving you access to the same records as we should you be unable to contact us during an emergency situation. Finally, while most transactions done through us are not time sensitive, each emergency situation presents unique problems based on external factors, such as time of day and the severity of the disruption. Thus, while each entity with which you have invested desires to restore its own operations and to be able to complete existing and accept new transactions as well as payments within a short period of time, your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within four hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area and recover and resume business within one business day. In either situation, we plan to continue to transact, and notify you through our client emergency number (832) 496-3823 or how to reach us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our client's timely interface with the respective companies and entities that have provided investment products to you, through us.

Response to a Pandemic – To the extent that a Company office is in an area where a Pandemic has been declared, if travel restrictions have not been imposed, the Designated Principal shall consider temporarily moving key personnel to an alternative location or implement the Firm's Remote Working procedures.

Remote Working Policy – Chaffe allows registered representatives to work remotely in the event of an S&D. As a result, additional policies and procedures tailored to such circumstances have been implemented to assist registered representatives and other personnel in continuing business during an S&D and ensuring compliance with updating circumstances, rules, and regulations.

For more information – If you have questions about our business continuity plan, you may contact us at (504) 524-1801.

This plan is subject to modification. Changes to our documents will be updated immediately by requesting a written copy by mail.

Revised November 2024

Attachment B

Business Continuity Plan

Corporate Telephone Directory

Employee	Office Phone	Cell Phone	Home Email
Sherwood G. Briggs	(504) 524-1801	(504) 458-7621	sg_briggs@yahoo.com
Vanessa Brown Claiborne	(504) 524-1801	(504) 491-4207	vbc4@bellsouth.net
Frank R. DeVay	(504) 524-1801	(504) 710-2373	frankdevay@hotmail.com
Taylor Gilbert	(504) 524-1801	(504) 762-1742	t.h.gilbert@gmail.com
Marc S. Katsanis	(504) 524-1801	(504) 453-5641	mkatsanis@yahoo.com
Deirdre Patten Kowalski	(281) 419-6030	(281) 838-5408	dpatten@pattentraining.com
Lacie H. Lannes	(504) 524-1801	(504) 912-4633	lacie77@hotmail.com
Lynn Lino	(504) 524-1801	(504) 410-2969	lynn.lino@yahoo.com
G.F. Gay LeBreton	(504) 524-1801	(832) 496-3823	glebreton@chaffe-associates.com
Richard W. Slocum	(504) 524-1801	(803) 331-2849	richardslocum@gmail.com
Lynne Tutt	(504) 524-1801	(504) 812-6660	ltutt@bellsouth.net
Ryan W. Gerton	(504) 524-1801	(469) 500-6969	ryangerton@gmail.com
Lisa Shelley	(503) 267-3904	(503) 267-3904	xashesxashesx@gmail.com
Nene Gianfala	(504) 524-1801	(218) 748-9977	nenevglenn@gmail.com
Riley J. Busenlener	(504) 524-1801	(504) 214-1021	rjb2516@gmail.com
Liam B. Norton	(504) 524-1801	(318) 607-5777	lnorton@tulane.edu
Michael Schmidt	(504) 524-1801	(504)-388-9888	michael.hugo.schmidt@gmail.com
Alex Rooney	(504) 524-1801	(504) 432-6036	alexmrooney@gmail.com
Barton Barré	(504) 524-1801	(504) 491-0776	bbarr39@lsu.edu
Olivia Burroughs	(504) 524-1801	(757) 304-1285	olivia.burroughs137@gmail.com
Robert Bostanian	(504) 524-1801	(504) 223-2877	rbostanian@gmail.com
Interns			
Allen Stewart	(504) 524-1801	(225) 300-0361	stewartallen2021@gmail.com

Attachment C
Chaffe Securities, Inc.
Business Continuity Plan
Regulator Contact Information

The following sets forth a list of the primary Regulators that CSI submits filings and/or reports to on a regular basis, including addresses and phone numbers:

U.S. Securities and Exchange Commission

U.S. Securities and Exchange Commission
100 F Street, NE
Washington, DC 20549
Phone: (202) 551-6551
Fax: (202) 728-8861

Financial Industry Regulatory Authority

Primary FINRA District
1100 Poydras Street
Suite 850
New Orleans, LA 70163
Phone: (504) 522-6527

Secondary FINRA Districts
Executive Offices
1735 K Street, N.W.
Washington, DC 20006
Phone: (202) 728-8000

Bo Kim

Principal Regulatory Coordinator
Risk Monitoring Analyst
FINRA - Dallas District Office
12801 N. Central Expressway
Suite 1050
Dallas, TX 75243
Direct: (972) 716-7657

Attachment D
Chaffe Securities, Inc.
Business Continuity Plan
State Regulator Contact Information

Alabama

Alabama Securities Commission
RSA Dexter Avenue Building
445 Dexter Avenue
Suite 12000
Montgomery, AL 36104
Phone: (334) 242-2984

California

Department of Financial Protection and Innovation

Broker-Dealer and Investment Adviser
Division
2101 Arena Boulevard
Sacramento, CA 95834
Phone: (916) 576-3638

Louisiana

Office of Financial Institutions
Securities Division
8660 United Plaza Blvd, 2nd Floor
Baton Rouge, LA 70809
Phone: (225) 925-4660

Mississippi

Office of the Secretary of State
Securities Division
401 Mississippi Street
Jackson, MS 39201
Phone: 601-359-1334

New York

New York State Department of Financial
Services
Banking Department/Insurance Department
1 State Street
New York NY 10004-1511
Main: 518-474-6600

North Carolina

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Texas State Securities Board
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West Virginia

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Building 1
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GLOSSARY

Application	A computer program or set of programs designed to help people perform certain types of work.
Assessment	The process of identifying core business areas and processes, completing an inventory and analyzing systems supporting the core business areas, prioritizing their conversion or replacement, identifying risks and the necessary resources.
Business Area	A grouping of business functions and processes that result in the production of specific outputs or services.
Business Function	A group of logically related tasks, which when performed, accomplish an objective.
Business Continuity Plan	A contingency plan describes the steps a company would take, including the activation of manual or contract processes, to ensure the continuity of its core business processes in the event of a business interruption induced system or process failure.
Chaffe Securities	Chaffe Securities, Inc.
Defect	A problem or "bug" that, if not removed, could cause a program to either produce erroneous results or otherwise fail.
FINRA	Financial Industry Regulatory Authority.
Firm	Chaffe Securities, Inc.
Infrastructure	The computer and communication hardware, software, databases, people, and policies supporting the company's businesses and operations.
Interface	A connection between two business systems or processes. The hardware or software needed to enable one device to communicate with another.
Mission Critical System	The loss of these critical functions would cause an immediate stoppage or significant impairment to core business areas.
Outsourcing	Paying another company or individual, to provide services that an organization might otherwise have performed itself (i.e., software development, payroll).
Platform	The foundation technology of a computer system. Typically, a specific combination of hardware and operating systems.
Regulators	Refers collectively to the SEC, FINRA and various other regulatory entities having jurisdiction over the business activities of Chaffe Securities.
SBD	Significant Business Disruption.

SEC

United States Securities and Exchange Commission.

Quality Assurance

The critical review process to guarantee that all procedures, tasks, analysis, and reporting were correctly performed.

Utilities

To a business this could mean several things: computer programs designed to perform maintenance work on the system or on system components, i.e., a storage backup program, a disk or file recovery program, or a resource editor; or the general phrase used to refer to telecommunication, electrical, gas, water and waste management services.