

Modern Capital Securities Inc.
Written Supervisory Procedures Manual

CHAPTER 15

Business Continuity Plan

15.1 FINRA rule 4370 requires Broker Dealers to create and maintain a business continuity plan, and FINRA rule 4370 requires that emergency contact information regarding the BCP be provided to FINRA through FINRA contact system at www.FINRA.org/ncs.asp.

15.2 The Designated supervising principal for the business continuity plan is the President of Modern Capital Securities Inc. - Daniel Shanahan. He is responsible for the approving and supervision of the business continuity plan, as well as conducting an annual review of our BCP, including any proposed changes to the BCP

15.3 The supervising principal will ensure that emergency contact information is given (and updated as required) through the NCS portal in accordance with FINRA NTM 04- 37.

15.4 Continuity and Business Continuation Plan (Publicly available on the firm's website www.moderncap.com)

Modern Capital Securities, Inc. ("MCS" or the "Firm") is providing you with this document to inform you of the MCS plan to respond to certain business disruptions at your Registered Representative's local office or at the main office of MCS. Your Registered Representative is associated with MCS and as a result, all transactions that you place through him or her are processed through MCS systems. Our ability to respond to business disruptions is therefore important to your relationship with your Representative.

In general, MCS maintains a business continuity plan and intends to continue business in the event of a significant business disruption. MCS is an "introducing" Broker/Dealer and as such relies on its correspondent clearing firm (RBC CS) to perform certain functions on MCS's behalf, including the execution of securities transactions and the maintenance of customer funds and securities. Accordingly, the Firm's ability to respond to certain business disruptions is partially dependent on our clearing firm.

In the event of a significant business disruption at either the local or main office, MCS may route calls to an office location in a separate geographical location, and if necessary, transfer operations to a facility maintained by a third-party vendor. Although MCS intends to continue business in the event of a significant business disruption, there are some disruptions that may render the Firm or your Registered Representative unable to continue business. Under such circumstances, MCS will ensure that clients will be able to access their funds and securities within a reasonable time frame.

To provide clients with up-to-date information during a significant business disruption to your Registered Representative's local office or the main office, MCS clients may call our emergency number (800) 767-3838 or (612) 607-8998.

**Modern Capital Securities Inc.
Written Supervisory Procedures Manual**

1

In the unlikely event that MCS is unable to continue business; clients may directly contact our clearing firm, RBC Correspondent Services to process limited trade-related transactions, cash disbursements and security transfers. Instructions to RBC CS must be in writing and transmitted via a facsimile or postal service as follows:

RBC Correspondent Services
60 South 6th Street
Minneapolis, MN 55402 (612)
607-8903

For additional information about how to request funds and securities when MCS cannot be contacted due to a significant business interruption please call (800) 767-3838 for recorded instructions. In the event that this number is unavailable you may contact RBC CS at (866) 861-3564 for instructions.