

OpenDeal Broker LLC

Business Continuity Plan Disclosure Statement

OpenDeal Broker LLC (“OpenDeal” or the “Firm”) has developed a Business Continuity Plan (“BCP”) regarding how the Firm would respond to events that significantly disrupt its business. The timing and impact of significant business disruptions is unpredictable; therefore, the Firm must be flexible in responding to actual events as they occur.

Contacting OpenDeal

If after a significant business disruption a client cannot reach the Firm via telephone (646) 951-3056 or email compliance@thecapitalr.co, a client may go to the Firm’s website republic.co/capitalr where important information will be posted. If necessary, the Firm may proactively contact all of its clients and business constituents via telephone to inform such clients and business constituents of the situation.

Business Continuity Plan

The Firm plans to quickly recover and resume business operations after a significant business disruption and respond by safeguarding its employees and property, making a financial and operational assessment and protecting the Firm’s book and records. The Firm’s BCP is designed to permit the Firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

The BCP 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; bank impact and regulatory reporting. The Firm will update the BCP whenever it has a material change to its operations, structure, business or location.

Varying Disruptions

Significant business disruptions can vary in their scope, such as only affecting the Firm, the Firm’s office building, the business district where the Firm is located, the city where the Firm is located or the broader region and can be a result of a natural disaster, power outage or other type of event. With respect to disruptions to only the Firm or the Firm’s office building, the Firm will transfer its operations to an alternate office location which may include requiring employees to work remotely and resume business within one business day. In any scenario, the Firm plans to continue its operations and notify clients and business constituents via telephone or email on how to contact the Firm.

For more information

If you have questions about the Firm’s BCP or wish to review the BCP, please contact our office at (646) 951-3056.