



Business Continuity Disclosure

FINRA regulations require broker-dealers to establish emergency preparedness plans and procedures. Brown Advisory Securities, LLC (“Brown Advisory Securities”) has designed and implemented a business continuity plan to ensure that we are prepared to meet the needs of our clients in the event of an emergency or disaster. The following information describes Brown Advisory Securities’ and Wells Fargo Clearing Services LLC’s (“WFCS, LLC”), our clearing firm, efforts to ensure that the impact to you is minimized in the event of an emergency or disaster.

Brown Advisory Securities’ business continuity plan is designed to address the following areas:

- Clients access to their funds and securities
- Data back-up and recovery
- Mission critical systems
- Financial and operational assessments
- Alternate means of communication between the Firm and its clients
- Alternate means of communication between the Firm and its employees
- Alternate physical locations of employees
- Critical business constituent, bank and counter-party impact
- Regulatory reporting
- Communications with its regulators

Since events creating disruption of business may vary in nature and scope, Brown Advisory Securities has anticipated scenarios in which the following are affected:

- Brown Advisory Securities’ headquarters location at 901 South Bond Street, Baltimore, MD
- Surrounding city or regional disruption in Baltimore, MD
- A Brown Advisory Securities’ branch location (or the surrounding city or region) of Chevy Chase, MD

In the event of a business disruption at the home office or at a branch office location, the Firm has designed a contingency plan where business activities may be conducted from an alternative site. In addition, Brown Advisory Securities’ clients can register and then access their accounts, through our web site at www.brownadvisory.com. These alternative access methods are provided so that our clients are able to maintain access to their accounts, although we cannot guarantee immediate access to your account in all possible scenarios.



At a minimum, the Brown Advisory Securities' business continuity plan is reviewed, updated and tested on an annual basis. Additionally, our primary external provider of mission critical systems, WFCS, LLC, periodically conducts testing of their own back-up capabilities to ensure that, in the event of an emergency or significant business disruption, they will be able to provide us with the critical information and applications we need to continue, or promptly resume, our business. A copy of the Business Continuity Disclosure Policy of WFCS, LLC may be accessed via the Internet at <http://www.WellsFargoClearingServicesLLC.com/pdf/business-continuity.pdf>

Regardless of the scope of the potential disruption, Brown Advisory Securities will strive to continue to provide services to its clients. Making sure that a business disruption does not unduly impact our clients is extremely important to us, and our business continuity plan is designed to allow us to continue to provide the quality service you have come to expect from Brown Advisory Securities.