

TAGLICH BROTHERS, INC. BUSINESS CONTINUITY PLAN (BCP)

Rule 4370 requires a member firm to create, maintain, annually review and update upon any material change a written Business Continuity Plan (BCP) identifying procedures relating to an emergency or significant business disruption. These procedures must be “reasonably designed to enable the member to meet its existing obligations to customers.” While each member firm needs to conduct its own risk analysis to determine where critical impact points and exposures exist within the firm and with its counterparties and suppliers, significant business disruptions for purposes of business continuity planning may include, among other things, natural disasters, pandemics, terrorist attacks and cyber events. In addition, member firms that heavily leverage technology for their business systems and infrastructure may have an increased risk of significant business disruptions associated with cyber events and technology-related disruptions. Each member firm has flexibility to tailor the BCP to the size and needs of its business, provided that the plan addresses the enumerated minimum elements described below to the extent applicable and necessary to the firm.

In addition, Rule 4370 requires each member firm to provide (and promptly update upon any material change) to FINRA prescribed emergency contact information for the member firm. The rule also requires each member firm to disclose (at a minimum, in writing at account opening, by posting on its website, and by mailing upon request) to its customers how the BCP addresses the possibility of a future significant business disruption and how the member firm plans to respond to events of varying scope.

Critical Elements

At a minimum, a BCP must address these elements, to the extent applicable and necessary:

1. Data back-up and recovery (hard copy and electronic);
2. All mission critical systems;
3. Financial and operational assessments;
4. Alternate communications between customers and the member;
5. Alternate communications between the member and its employees;
6. Alternate physical location of employees;
7. Critical business constituent, bank and counter-party impact;
8. Regulatory reporting;
9. Communications with regulators; and
10. How the firm will assure customers' prompt access to their funds and securities in the event that the member determines that it is unable to continue its business.

EMERGENCY CONTACT PERSONS

Our firm's two emergency contact persons are:

Name	Title or Relationship to Firm ⁱ	Mailing Address	Email Address	Phone Number	Fax Number
Richard Oh	Vice President	37 Main St. Cold Spring Harbor, NY 11724	ohr@taglichbrothers.com	631-757-1500	631-757-2100
Michael Taglich	President	37 Main St. Cold Spring Harbor, NY 11724	mtaglich@taglichbrothers.com	631-987-1271	631-757-2100

The firm will provide FINRA with the contact information for the two emergency contact persons: (1) name; (2) title; (3) mailing address; (4) email address; (5) phone number; and (6) facsimile number through the [FINRA Contact System](#) (FCS). 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, and if necessary, update, this information within 17 business days after the end of each calendar year.

Rule: FINRA Rule 4370(f); FINRA Rule 4517. See also FINRA's Regulatory Filing Systems for the [FCS](#).

FIRM POLICY

Taglich Brothers, Inc.'s policy 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 allowing our customers to transact business. The BCP's primary objectives are to continue providing services to our customers, protect the health and safety of our employees, and fulfill our legal and regulatory obligations. In the event that we determine we are unable to continue our business, we will assure customers prompt access to their funds and securities.

SIGNIFICANT BUSINESS DISRUPTIONS (SBDS)

An SBD may affect only our firm (*e.g.*, a fire in our office building or cyber event) or may be widespread affecting several firms or the operation of the securities markets (*e.g.*, a terrorist attack, a natural disaster or a pandemic). Our response will vary depending on the severity of the SBD, which may include greater reliance on other organizations and systems, especially on the capabilities of our clearing firm.

PLAN APPROVAL AND ANNUAL REVIEWS

Richard Oh, a registered principal and member of senior management, is responsible for approving the plan and for conducting the required annual review

Rule: FINRA Rule 4370(b) and (d).

PLAN LOCATION AND ACCESS

Consistent with FINRA Rule 4511 (General Requirements), our firm 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 to FINRA staff.

The BCP is also available electronically on our website <https://taglichbrothers.com/about-us/business-continuity/>

Rule: FINRA Rule 4370(a); FINRA Rule 4511.

BUSINESS DESCRIPTION

Taglich Brothers, Inc is an introducing firm that conducts business in equity securities, retail and institutional customers. We do engage in private placements. We do not perform any type of clearing function or hold customer funds or securities. After an order is accepted and entered by our firm, the order is sent to our clearing firm for execution, clearance and settlement. Our clearing firm also maintains our customers' accounts, can grant customers access to them, and delivers funds and securities.

Our clearing firm is Axos Clearing, 15950 W. Dodge Road, Suite 300, Omaha, NE 68118. Their main telephone number is 402-384-6100. More information can be found on our clearing firm's website <https://axosclearing.com/business-continuity/>.

OFFICE LOCATIONS

Our Office is located at 37 Main Street, Cold Spring Harbor, NY 11724. Its main phone number is 631-757-1500 and the point of contact is Jennifer DenDekker, 631-757-1500. We engage in order taking and entry at this location.

In the event that our Office is inaccessible or staff is working remotely due to an SBD, mail will be directed or forwarded to the alternate location 29 Glades Way, Huntington, NY (631) 673-0613 (personal residence).

ALTERNATE PHYSICAL LOCATION(S) OF EMPLOYEES

In the event of an SBD impacting our ability to operate in our office location, critical staff have the capability to work remotely from their home.

In this event, we will maintain a list of employees working locations and contact information.

The risk of cybersecurity events may be increased due to use of remote offices or telework arrangements. We will remain vigilant in our surveillance against cyber threats and take steps to reduce the risk of cyber events.

Rule: FINRA Rule 4370(c)(6).

CUSTOMERS' ACCESS TO FUNDS AND SECURITIES

Taglich Brothers, Inc does not maintain custody of customers' funds or securities. Our clearing firm, Axos Clearing maintains custody of customers' funds or securities.

In the event of an SBD

1. If telephone or internet service is available during an SBD, our registered persons will take customer orders or instructions (including instructions to transfer customer accounts in the event our firm determines that it is unable to continue its business) and contact our clearing firm on their behalf.
2. If registered persons are unable to service customers' orders or instructions, our firm will post on our website or send an email to customers notifying customers that they may access their funds and securities by contacting clearing firm.

Taglich Brothers, Inc will make this information available to customers through its disclosure policy.

Rule: FINRA Rule 4370(a).

DATA BACK-UP AND RECOVERY

Taglich Brothers, Inc maintains its primary or original books and records in both electronic and paper form at our main location. The CCO and Office Manager are responsible for the maintenance of these books and records.

Taglich Brothers, Inc. exclusively maintains the following document types and forms that are not transmitted to our clearing firm: New Account Documents, Investor Questionnaires, Private Placement Investment Documents.

Our firm maintains its back-up copy of books and records in electronic form at our office location. Richard Oh, a registered principal and member of senior management, is responsible for the maintenance of the back-up copy of our books and records.

Our firm backs up its paper books and records by scanning and keeping an electronic data drive. The firm backs up its electronic books and records daily on its server, and keeps an electronic copy at our back-up site.

In the event of an SBD that causes the loss of our primary or original paper books and records, we will physically recover paper copies of them from our back-up site. For the loss of our primary or original electronic books and records, we will obtain electronic copies of them from our back-up site or physically recover the electronic storage media from our back-up site.

Rule: FINRA Rule 4370(c)(1).

FINANCIAL AND OPERATIONAL ASSESSMENTS

OPERATIONAL RISK

In the event of an SBD, Taglich Brothers, Inc., will identify whether there are any limitations on our ability to communicate with our customers, employees, critical business constituents, critical banks, critical counter-parties and regulators. Depending on the limitations, we will employ alternate modes of communication, including our website, phone or email, to communicate with customers, employees, critical business constituents, critical banks, critical counter-parties and regulators. If registered persons are unable to service customers, our firm will post on our website or send an email to customers notifying customers that they may access their funds and securities by contacting our clearing firm. In addition, we will retrieve our key activity records as described in the section above, Data Back-Up and Recovery.

Rule: *FINRA Rules 4370(c)(3), (c)(4), (c)(5), (c)(7), (c)(9) and (g)(2).*

FINANCIAL AND CREDIT RISK

In the event of an SBD, Taglich Brothers, Inc.'s FINOP will determine the value and liquidity of its investments and other assets to evaluate the Company's ability to continue to fund its operations and remain in capital compliance.

Taglich Brothers, Inc. will contact its clearing firm, critical banks, and investors to apprise them of the Company's financial status. If the Company determines that it may be unable to meet its obligations to those counter-parties or otherwise continue to fund its operations, Taglich Brothers, Inc. will request additional financing from our bank or other credit sources to fulfill its obligations to our customers and clients. If Taglich Brothers, Inc. cannot remedy a capital deficiency, the FINOP will file appropriate notices with applicable regulators and immediately take appropriate steps, including the suspension of non-essential business activities, contacting the SIPC, and the temporary lay-off of non-essential personnel.

In the event there is suspension or termination of the Company's business, the Company will attempt to notify customers regarding the situation and provide them with instructions for accessing their funds or securities, if applicable, for verifying transactions in process or for conducting future business. Notification will be a form allowed based on the circumstances permitted by regulatory authorities and may include telephone calls, letters or a posting on the Company's website.

Rule: *FINRA Rules 4370(c)(3), (c)(8) and (g)(2).*

MISSION CRITICAL SYSTEMS

Our 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.

Our firm establishes and maintains our business relationships with our customers and performs the mission critical functions of order taking and entry and execution. Our clearing firm provides, through contract, the execution, comparison, allocation, clearance and settlement of securities transactions, maintenance of customer accounts, access to customer accounts and the delivery of funds and securities.

In the event that our firm's BCP is executed, our clearing firm contract provides that our clearing firm will provide services (as described in <https://axosclearing.com/business-continuity-plan/>) when the BCP is executed, such as calls from customers to the firm's main office will instead be directed to the clearing firm or customers will be instructed to place orders directly with the clearing firm.

Our clearing firm contract provides that our clearing firm will maintain a business continuity plan and the capacity to execute that plan. Our clearing firm represents that it will advise us of any material changes to its plan that might affect our business or customers. In the event our clearing firm executes its plan, it represents that it will notify us of such execution and provide us equal access to services as its other customers. If we reasonably determine that our clearing firm has not or cannot put its plan in place quickly enough to meet our needs, or is otherwise unable to provide access to such services, our clearing firm represents that it will assist us in seeking services from an alternative source.

Our clearing firm represents that it backs up our records at a remote site. Our clearing firm represents that it operates a back-up operating facility in a geographically separate area with the capability to conduct the same volume of business as its primary site. Our clearing firm has also confirmed the effectiveness of its back-up arrangements to recover from a wide scale disruption by testing, and it has confirmed that it tests its back-up arrangements every time period.

Recovery-time objectives provide concrete goals to plan for and test against. They are not, however, hard and fast deadlines that must be met in every emergency situation, and various external factors surrounding a disruption, such as time of day, scope of disruption and status of critical infrastructure—particularly telecommunications—can affect actual recovery times. Recovery refers to the restoration of clearing and settlement activities after a wide-scale disruption; resumption refers to the capacity to accept and process new transactions and payments after a wide-scale disruption. Our clearing firm BCP anticipates several kinds of disaster recovery levels, including immediate, short-term and long term. Recovery refers to the restoration of clearing and settlement activities after a wide-scale disruption; resumption refers to the capacity to accept and process new transactions and payments after a wide-scale disruption. When appropriate, a decision to formally declare a disaster will be made within four (4) hours of an incident. A disaster will be declared if the disruption of computing services is expected to last beyond eight (8) hours. Our clearing firm will notify us within four (4) hours of the determination of a SBD event.

Our CCO or Office Manager will periodically review our clearing firm's capabilities to perform the mission critical functions the clearing firm has contracted to perform for our firm.

OUR FIRM'S MISSION CRITICAL SYSTEMS

ORDER TAKING

Currently, our firm receives orders from customers via phone, or in-person visits by the customer. During an SBD, we will continue to take orders through any of these methods that are available and reliable. As communications permit, we will inform our customers what alternative methods are available for sending orders. Customers will be informed of alternatives by phone, email or posting on the firm's website. If necessary, we will advise our customers to place orders directly with our clearing firm at their main number 402-384-6100.

ORDER ENTRY

Currently, our firm records customer orders on paper and sends them to our clearing firm electronically.

In the event of an SBD impacting order entry, we will enter and send orders to our clearing firm by the fastest alternative means available, which include our clearing firm's electronic platform. In the event of our clearing firm experiences an SBD impacting order entry, we will maintain the order in electronic or paper format and deliver the order to the clearing firm by the fastest means available when it resumes operations. In addition, our contract with the clearing firm provides that customers may be referred to the clearing firm for direct order entry.

ORDER EXECUTION

We currently do not execute orders. All orders are executed by the clearing firm.

OTHER SERVICES CURRENTLY PROVIDED TO CUSTOMERS

In addition to those services listed above in this section, we also provide investment banking services.

In the event of an internal or external SBD, we will attempt to continue to offer these services provided that doing so does not place our employees or customers in harm's way. These services may be temporarily suspended if we determine that safety cannot be assured or if critical systems necessary for offering these services, such as telephone or Internet system, are disrupted.

MISSION CRITICAL SYSTEMS PROVIDED BY OUR CLEARING FIRM

The Company's clearing firm provides, through contract, the 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.

Taglich Brothers, Inc.'s clearing agreement, or addendum thereto, provides that the clearing firm will maintain a business continuity plan and the capacity to execute that plan.

In the Event of a Significant Business Disaster Declared by Axos Clearing:

1. Axos Clearing will assess which means of communication are still available to communicate with our correspondents and contact all correspondents of the issue(s) related to the significant business disaster.
2. If necessary, Axos Clearing will move designated staff from the Omaha office to a remote location and basic business clearing operations will be established. Many employees are equipped with laptops with VPN capabilities. Axos Clearing will contact all correspondents via telephone, email or facsimile with instructions continuing business Operations.
3. In the event of an SBD that would no longer allow the Omaha office to function, Axos Clearing will continue to take orders through methods that are available and reliable. As the extent of the SBD is assessed, Axos Clearing will inform

our correspondents what alternatives they have to send their orders to us. Correspondents will be informed of alternatives by telephone, cellular telephone, email, or facsimile.

4. Axos Clearing will assess our financial situation and value and liquidity of our investments and other assets to evaluate our ability to continue to fund our operations and remain in capital compliance. If we determine that we may be unable to meet our obligations to those counter-parties or otherwise continue to fund our operations, we will request additional financing from our credit sources to fulfill our obligations to our correspondents. If Axos Clearing cannot remedy a capital deficiency, we will file appropriate notices with our regulators immediately. These include the FINRA District 4 Office, FINRA Risk Oversight and Operational Regulation (ROOR) Office, the SEC Regional Office in Denver, and the FINRA Regulation and SEC Headquarters in Washington DC. Axos Clearing will work with the FINRA District Office in Kansas City as our DEA to work toward resolving any capital issues. Axos Clearing maintains a list of our regulators, critical business constituents and bank contacts.

In addition, the Company's clearing firm has also confirmed the effectiveness of its back-up arrangements to recover from a wide scale disruption by testing its disaster recovery systems at least quarterly.

Recovery-time objectives provide concrete goals to plan for and test against. They are not, however, hard and fast deadlines that must be met in every emergency situation, and various external factors surrounding a disruption, such as time of day, scope of disruption, and status of critical infrastructure—particularly telecommunications—can affect actual recovery times. Axos Clearing's BCP anticipates several kinds of disaster recovery levels, including immediate, short-term and long term. Recovery refers to the restoration of clearing and settlement activities after a wide-scale disruption; resumption refers to the capacity to accept and process new transactions and payments after a wide-scale disruption. When appropriate, a decision to formally declare a disaster will be made within four (4) hours of an incident. A disaster will be declared if the disruption of computing services is expected to last beyond eight (8) hours. Axos Clearing will notify their correspondents within four (4) hours of the determination of a SBD event.

Rule: FINRA Rules 4370(c)(2) and (g)(1).

ALTERNATE COMMUNICATIONS BETWEEN THE FIRM AND CUSTOMERS, EMPLOYEES AND REGULATORS

CUSTOMERS

Taglich Brothers, Inc. currently communicates with our customers via telephone, email, fax, US Postal Service, FedEx and in person meetings.

In the event of an SBD, we will identify whether there are any limitations on our ability to communicate with customers. Depending on the limitations, we will employ alternate modes of communication, including our website, phone, or email, to communicate with customers. When an alternate mode of communication is used we will consider any increased risk of cybersecurity events stemming from the alternate mode.

Rule: FINRA Rule 4370(c)(4) and (e).

EMPLOYEES

Taglich Brothers, Inc currently communicates with its employees via telephone, email and in person.

In the event of an SBD, we will identify whether there are any limitations on our ability to communicate with employees. Depending on the limitations, we will employ alternate modes of communication, including our website, phone, or email, to communicate with employees. When an alternate mode of communication is used we will consider any increased risk of cybersecurity events stemming from the alternate mode.

In the event of an SBD, we will assess which means of communication are still available to us, and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party.

Consistent with FINRA Rule 4511 (General Requirements), we will also employ the use of firm-wide emails or text messages or notifications so that senior management can reach all employees quickly during an SBD. In addition, in the event that employees move to a back-up location or remote location for an extended period of time (e.g., due to a pandemic), we will circulate updated employee contact information within the firm to maintain service.

The Company employs only 9 employees who are located within close proximity to each other. Employees will be notified directly by the Disaster Recover Coordinator, or his designee, as to events and the manner in which they should proceed.

Rule: FINRA Rule 4370(c)(5).

REGULATORS

The Company is currently a member of the FINRA and is registered with the SEC.

The Company is registered to conduct business in all 50 State and the District of Columbia.

Taglich Brothers, Inc. communicates with applicable regulators using the telephone, fax, email and U.S. mail.

In the event of an SBD, we will identify whether there are any limitations on our ability to communicate with regulators. Depending on the limitations, we will employ alternative modes of communication, including our website, phone or email, to communicate with regulators. When an alternate mode of communication is used we will consider any increased risk of cybersecurity events stemming from the alternate mode.

In the event that we have relied on any guidance or temporary regulatory relief from a regulator during an SBD, we will document our reliance.

Regulator	Guidance or Temporary Regulatory Relief and Any Condition(s)	Actions in Reliance	Date(s)

Rule: FINRA Rule 4370(c)(9).

CRITICAL BUSINESS CONSTITUENTS, BANKS AND COUNTER-PARTIES

BUSINESS CONSTITUENTS

In the event of an SBD related to our critical business constituents (businesses with which we have an ongoing commercial relationship in support of our operating activities, such as vendors providing us critical services), we will contact our critical business constituents and determine the extent to which we can continue our business relationship with them in light of the SBD. Our critical business constituents are:

Service/Product	Supplier's Name, Address and Phone Number	Any Alternate Supplier's Name, Address, and Phone Number
Telephone and Internet	Optimum 1-866-251-4436	
Technical Support	Adept Technology Consulting 60 Plan Avenue Ste 2, Hauppauge NY 11788 631-676-1756	

We will quickly establish alternative arrangements if a business constituent can no longer provide the needed goods or services when we need them because the business constituent is experiencing its own SBD or we are experiencing ours own.

Rule: FINRA Rule 4370(c)(7).

BANKS

In the event of an SBD related to our financing, we will contact our banks and lenders to determine if they can continue to provide the financing. The bank maintaining our operating account is: Chase Bank, 212-552-3898 customer service. The bank maintaining our Proprietary Account of Introducing Brokers/Dealers (PAIB account) is Axos Clearing, 402-384-6100. If our banks and other lenders are unable to provide the financing, we will seek alternative financing immediately.

Rule: FINRA Rule 4370(c)(7).

COUNTER-PARTIES

In the event of an SBD related to our financing, we will contact our critical counter-parties, such as other broker-dealers or institutional customers, to determine if we will be able to carry out our transactions with them in light of the SBD. Where the transactions cannot be completed, we will work with our clearing firm or contact those counter-parties directly to make alternative arrangements to complete those transactions as soon as possible.

Rule: FINRA Rule 4370(c)(7).

REGULATORY REPORTING

Our firm is subject to regulation by FINRA and SEC, as well as various State and other securities regulators.

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:

FINRA District Number 10

Address: Two Jericho Plaza, Suite 307, Jericho, NY 11753

Phone: (516) 827-6100

SEC Northeast Region

Address: 233 Broadway, New York, NY 10279

Phone: (646) 428-1500

Contact Information for State Regulators:

Alaska

Address: 150 Third Street, Room 217, Juneau, AK 99811

Phone: (907) 465-2521

Alabama

Address: RSA Plaza, 770 Washington Ave., Ste. 570, Montgomery, AL 36130-4700

Phone: (334) 242-2984 or (800) 2221253

Arizona

Address: 1300 West Washington Street, 3rd Floor, Phoenix, AZ 85007

Phone: (602) 542-4242

Arkansas

Address: Heritage West Building, 201 East Markham, Room 300, Little Rock, AR 72201

Phone: (501) 324-9260

California

Address: 320 West 4th Street, Ste. 750, Los Angeles, CA 90013-1105

Phone: (213) 576-7643

Colorado

Address: 1580 Lincoln Street, Ste. 420, Denver, CO 80203-1506

Phone: (303) 894-2320

Connecticut

Address: 260 Constitution Plazas, Hartford, CT 06103-1800

Phone: (860) 240-8230 or (800)831-7225

District of Columbia

Address: 810 First Street NE, Suite 701, Washington DC 20002

Phone: (202) 727-8000

Delaware

Address: 820 North French Street, 5th Floor, Wilmington, DE 19801

Phone: (302) 577-8424

Florida

Address: 101 East Gaines Street, Plaza Level, The Capital, Tallahassee, FL 32399-0350

Phone: (850) 410-9805

Georgia

Address: Two Martin Luther King Jr. Dr., SE, 802 W. Tower, Atlanta, GA 30334

Phone: (404) 656-3920

Hawaii

Address: 1010 Richards Street, 2nd Floor, Honolulu, HI 96813

Phone: (808) 586-2744

Iowa

Address: 330 Maple Street, Des Moines, IA 50319-0065

Phone: (515) 281-5705

Idaho

Address: 700 West State Street, 2nd Floor, Boise, ID 83720-0031

Phone: (208) 3328004

Illinois

Address: 17 North State St, Ste. 1100, Chicago, IL 60601

Phone: (312) 793-3384

Indiana

Address: 302 west Washington Street, Room E-111, Indianapolis, IN 46204

Phone: (317) 232-6681 or (800) 223-8791

Kansas

Address: 618 S. Kansas Avenue, 2nd Floor, Topeka, KS 66603-3804

Phone: (785) 296-3307 or (800) 232-9580

Kentucky

Address: 1025 Capital Center Drive, Suite 200, Frankfort, KY 40601
Phone: (502) 573-8787

Louisiana

Address: 3445 North Causeway Boulevard, Suite 509, Metairie, LA 70002
Phone: (504)846-6970

Massachusetts

Address: One Ashburton Place, 17th Floor, Boston, MA 02108
Phone: (617) 727-3584 or (800) 269-5428

Maryland

Address: 200 St. Paul Place, 20th Floor, Baltimore, MD 21202-2020
Phone: (410) 576-6360

Maine

Address: 121 State House Station, Augusta, ME 04333-0121
Phone: (207) 624-8551

Michigan

Address: Ottawa Bldg. 2nd Floor, 610 W. Ottawa St., Lansing, MI 48933
Phone: (877) 999-6442

Minnesota

Address: 85 Seventh Place East, Suite 500, St. Paul, MN 55101-2198
Phone: (651) 296-4026

Missouri

Address: 600 West Main Street, Jefferson City, MO 65101
Phone: (573) 751-4136

Mississippi

Address: 202 N. Congress Street, Suite 601, Jackson, MS 39205
Phone: (800) 804-6364

Montana

Address: 840 Helena Avenue, Helena, MT 59604
Phone: (406) 444-2040 or (800) 332-6148

Nebraska

Address: 1200 N Street, Suite 311, Lincoln, NE 68508
Phone: (402) 471-3445

New Hampshire

Address: State House Annex, Room 317A, 25 Capitol Street, Concord, NH 03301

Phone: (603) 271-1463 or (800) 994-4200

New Mexico

Address: 725 St. Michaels Drive, Santa Fe, NM 87505-7605

Phone: (505) 827-7140

Nevada

Address: 555 E. Washington Ave., 5th Floor, Suite 5200, Las Vegas, NV 89101

Phone: (702) 486-2440 or (800) 758-6440

New Jersey

Address: 153 Halsey Street, 6th Floor, Newark, NJ 47029

Phone: (973) 504-3600

New York

Address: 120 Broadway, 23rd Floor, New York, NY 10271

Phone: (212) 416-8000

North Carolina

Address: 300 North Salisbury Street, Raleigh, NC 27603-5909

Phone: (919) 733-3924 or (800) 688-4507

North Dakota

Address: State Capitol Building, 5th Floor, 600 East Boulevard Ave., Bismarck, ND 58505

Phone: (701) 328-2910 or (800) 297-5124

Ohio

Address: 77 South High Street, 22nd Floor, Columbus, OH 43215

Phone: (614) 644-7381 or (800) 788-1194

Oklahoma

Address: Suite 860 First National Center, 120 North Robinson, Oklahoma City, OK 73102

Phone: (405) 280-7700

Oregon

Address: 350 Winter Street NE, Room 410, Salem, OR 97301-3881

Phone: (503) 378-4140

Pennsylvania

Address: Eastgate Office Bldg, 2nd Floor, 1010 N. Seventh Street, Harrisburg, PA, 17102-1410

Phone: (717) 787-8061

Rhode Island

Address: 233 Richmond Street, Ste. 232, Providence, RI 02903-4232

Phone: (401) 222-3084

South Carolina

Address: 1000 Assembly Street, Columbia, SC 29201

Phone: (803) 734-9916

South Dakota

Address: Capitol Building, 118 West Capitol Ave., Pierre, SD 57501

Phone: (605) 773-4823

Tennessee

Address: 500 James Robertson Pkwy, Suite 660, Nashville, TN 37243

Phone: (615) 741-1900

Texas

Address: Rusk Building, 208 E. 10th Street, 5th Floor, Austin, TX 78711-3167

Phone: (512) 305-8300

Utah

Address: 160 East 300 South, 2nd Floor, Salt Lake City, UT 84114-6760

Phone: (801) 530-6600

Virginia

Address: Tyler Building, 9th Floor, 1300 E. Main Street, Richmond, VA 23219

Phone: (804) 371-9051

Vermont

Address: 89 Main Street, Drawer 20, Montpelier, VT 05620-3101

Phone: (802) 828-3420

Washington

Address: General Administrative Bldg., Room 300, 210 11th Avenue SW, Olympia, WA 98504

Phone: (360) 902-8760

Wisconsin

Address: 345 W. Washington Avenue, Madison, WI 53703

Phone: (608) 266-1064

West Virginia

Address: State Capitol Building 1, Room W-100, Charleston, WV 25305

Phone: (304) 558-2257

Wyoming

Address: State Capitol Building, Cheyenne, WY 82002

Phone: (307) 777-7378

Rule: FINRA Rule 4370(c)(8).

DISCLOSURE OF BUSINESS CONTINUITY PLAN TO CUSTOMERS

Attached is our written BCP disclosure statement we provide customers at account opening. We also post the disclosure statement on our website and mail it to customers upon request.

Rule: FINRA Rule 4370(e).

UPDATES AND ANNUAL REVIEW

Taglich Brothers, Inc. will update this plan whenever we have a material change to our operations, structure, business or location or to those of our clearing firm. In addition, our firm will review this BCP annually to determine whether any modification are necessary due to changes in our operations, structure, business or location or those of our clearing firm.

Rule: FINRA Rule 4370(b).

SENIOR MANAGER APPROVAL

I have approved this Business Continuity Plan as reasonably designed to enable our firm to meet its obligations to customers in the event of an SBD.

Rule: FINRA Rule 4370(d).

Signed:  _____

Title: Vice President

Date: 02/06/2024

TAGLICH BROTHERS, INC. BUSINESS CONTINUITY DISCLOSURE STATEMENT

Taglich Brothers has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will be flexible in responding to actual events as they occur. With that in mind, 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 via telephone or email, please visit our website at www.taglichbrothers.com for alternative ways of contacting us. If you cannot access us through those means, you should contact our clearing firm, Axos Clearing LLC at 402-384-6100 for instructions on how it may assist you in the event of a significant business disruption; for example, provide prompt access to funds and securities, enter orders and process other trade-related, cash and security transfer transactions. Axos Clearing BCP: <https://axosclearing.com/business-continuity-plan/>

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit 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 backup and recovery; all mission critical systems; financial and operational assessments; alternate communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm, Axos Clearing LLC, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments. 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's office, 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 the event of a significant business disruption, we have plans to place to move to a back-up location or remote locations as necessary. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our website www.taglichbrothers.com on how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at 631-757-1500.