



CCM Securities, LLC
3 Park Avenue, 37th Floor
New York, NY 10016

BUSINESS CONTINUITY SUMMARY

As part of our ongoing commitment to our clients, this will serve to provide an overview regarding the CCM Securities, LLC ("CCM") Business Continuity Plan ("BCP"). The CCM BCP is reviewed and tested at different intervals, and is tested annually. Modifications and updates are made to incorporate any material business change or regulatory requirement. This overview is an attachment to the firm's BCP.

Business Continuity Components

CCM has evaluated the impact of business interruptions resulting from various events including but not limited to loss of facilities and resources. The BCP was developed by identifying methods to protect and restore critical business processes, records, data and systems to allow customers to transact business. CCM relies on its clearing firm Merrill Lynch Professional Clearing Corporation (MLPCC) as our third party provider who backs up their important records in a geographically separate area, for the protection and restoration of customer records, transactions, custody of funds and securities and operating systems. The third party providers have in place, a business continuity plan with system redundancy and back-up facilities.

Recovery Plan

In the event of a business interruption, CCM has established plans with teams that will activate to address an immediate response to the incident. The management will continue to work to resolve any interruptions caused by the situation beginning at the initial time of the incident until the matter is resolved.

The data recovery plan includes maintenance of redundant real-time system facilities. The staff and workspace recovery plan includes the relocation of critical personnel to alternative sites.

Whatever the event, our BCP is designed to enable the firm to be operational within 24 hours or less assuming that third party providers and industry critical systems are operational as well.

Contact Us

CCM New York Office 646.367.2634 and the Chicago Office 312.577.5601, or go to our website at <http://www.ccmfinancialgroup.com>.

If you cannot access us at any of those means, then you should contact our clearing firm, MLPCC at 312.347.3600 or ML-Broadcort at 646-743-0793 for liquidating orders, funds requests and transfers.

CCM will continue to promptly post modifications and updates to the BCP overview on the website.

Business Purpose

This overview of CCM's BCP is designed to satisfy the disclosure requirements of FINRA rule 4370 which was formerly NASD Rules 3510 and 3520 approved by the Securities and Exchange Commission on April 7, 2004.
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