

# Business Continuity Plan (“BCP”) Disclosure



Mirae Asset Wealth Management (USA) Inc. (“MAWM” or the “Firm”) plans to quickly recover and resume business operations after a significant business disruption (“SBD”) 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 company’s BCP is designed to permit us to resume operations as quickly as possible, given the scope and severity of the SBD.

The BCP addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; given the firm’s sole function in providing private placements and advisory work, the firm does not hold customer funds or securities nor does it take orders or employ any clearing facility for the purposes of settlement.

In the event of a disruption in the Firm’s business operations due an SBD, the Firm will attempt to continue to conduct business as usual by utilizing alternative communication methods (if available), such as the Internet, cell phones, etc., or by moving its operations to an alternative location. If personnel or operations must be moved to an alternate location, the Firm’s goal is to resume regular operations within 24 hours or as soon as reasonably possible, depending on the nature of the SBD.

MAWM will attempt to resume business as quickly as possible and keep its clients informed regarding relevant events to the best of its ability based on the circumstances. In all cases, MAWM will resume normal business operations as soon as it is able to do so, based on the type and the extent of the disrupting event.

If the SBD is so severe that it prevents us from remaining in business, we will assure our client’s prompt access to our records. In the event you are unable to reach the Firm at its main number, please proceed as follows:

Contact the Firm at: 213-262-3802, the phone number of the firm’s Chief Compliance Officer, Charles Lim.

Contact FINRA’s District office at 646-315-8790 for more information on the Firm’s status.

Any questions regarding MAWM’s BCP should be addressed to Charles Lim, Chief Compliance Officer at the following e-mail address: [charles.lim@miraeassetusa.com](mailto:charles.lim@miraeassetusa.com).