



Business Continuity Plan (BCP)

CoreCap Investments, LLC, a registered broker-dealer and member of FINRA/SIPC. As required by FINRA Rule 4370, each member firm must create and maintain a business continuity plan (“BCP”). CoreCap has developed a BCP in order to ensure that business continues to operate uninterrupted during business emergencies, to the extent reasonable and possible. The BCP is updated and tested on annual basis to ensure that CoreCap is prepared and is continually ready to expect the unexpected.

CoreCap Investments, LLC, and its affiliate, CoreCap Advisors, LLC (collectively, “CoreCap”) is committed to protecting its employees, registered representatives, advisors, and its clients and their assets at all times, including during emergency situations and during significant business disruptions. As mentioned previously, CoreCap has created, developed, and continually tested its BCP in order to keep business operational in times of emergency.

CoreCap conducts annual tests randomly and periodically to ensure computing systems and networks are operating as they properly should be. Also, the BCP is tested as an effort to ensure that CoreCap, its representatives, advisors, and its clients are provided with the appropriate information during an emergency situation.

Over the years, CoreCap has continually developed and improved its information technology, which it relies on for its availability, capacity, and reliability during all business times, but especially when the BCP is put into effect. CoreCap has a back-up/computer recovery site that is off-site from its main office location, 27777 Franklin Road, Suite 700, Southfield, MI 48034, in the case the main office location is forced to go off-line. In order to ensure that applications are restored within a reasonable period of time to the business, applications may be prioritized and certain recovery requirements/applications would be based on that prioritization.

CoreCap’s BCP is confidential and proprietary in nature as it contains sensitive CoreCap employee information. Therefore, the CoreCap BCP is not made public.

Contacting Us

If after a significant business disruption you cannot contact us as you usually do at 888-296-3360, you should call our affiliate number at 800-228-5964 or go to our website at www.corecapinv.com. If you cannot access us through either of those means, you should contact our back up office at 248-784-1200 for instructions on how it may assist in servicing your account(s).

Clearing Firms

CoreCap’s clearing firms consist of RBC Correspondent Services (“RBC”) and Charles Schwab (“Schwab”), both of which back up our important records in a different physical location. Both of these clearing firms have their own BCPs located on their websites. RBC’s BCP can be found at www.rbccm.com/en/legal/business-continuity-plan.page and Schwab’s BCP can be found at <https://www.schwab.com/legal/continuity>. Your orders and requests for funds and securities or services could be delayed during this period.

Additional Information

If you have questions about our BCP, you can contact us by mail at CoreCap Investments, LLC, 27777 Franklin Road, Suite 700, Southfield, Michigan 48034, by phone at 888-296-3360, or by email at info@corecapinv.com.