

Assent LLC Business Continuity Plan Disclosure

Assent, LLC (“Assent”) has developed a Business Continuity Plan (“BCP”) that details how we will respond to events that significantly disrupt our business. This disclosure document is designed to provide you with a summary of how Assent generally plans to respond to such events.

Contacting Assent

In the event of a significant business disruption, please contact Assent at (201) 356-1400, or visit our [System Status page](#) to receive information relating to the business disruption. To the best of our ability at the time of an incident, Assent will notify first its Home Office Management, Regional Managers and then its Branch Office Managers who will be apprised of the status of the business disruption and respond to inquiries.

Business Continuity Plan

Assent’s BCP is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption. Our BCP first assures the safety and security of our employees. Although the details of our BCP are proprietary and confidential, included in our BCP are steps to assess and recover the following: mission critical systems; business operations such as trading, clearing, finance, human resources, risk management, and compliance; communications with employees, associates, customers, counter-parties, vendors, and regulators; alternate physical location of employees; and assuring our customers prompt access to their funds and securities in the event we are unable to continue our business.

Varying Disruptions

The scenarios below are intended to disclose Assent’s planned approach to such events. However, because a significant business disruption can vary in its scope and severity, Assent cannot guarantee it will act precisely in the manner written below:

Scenario: In a disruption to only our company or a building housing our company Assent plans to continue limited business operations during such an event. During this period, Assent may offer limited trading access. If deemed necessary, Assent is prepared to transfer its mission critical business operations to a secondary location in order to minimize any business disruption. Our planned recovery time is 4 hours for mission critical functions and up to 2 days for full business recovery.

Scenario: In a disruption affecting our business district, city, or region, Assent plans to continue any or all of its business functions as appropriate. It may be necessary to transfer operations to a site outside of the affected area in order to recover mission critical functions and resume normal business. Our planned recovery time is 4 hours for mission critical functions and up to 2 days for full business recovery.

Scenario: In a disruption which affects the securities industry nationwide, Assent generally plans to continue any or all of its business functions as appropriate. Assent will adhere to all industry- wide decisions pertaining to such an event, which may include: exchange closings, industry holidays, bank closings, and clearance and settlement postponements. Assent generally plans to follow the industry timeline with respect to recovering its operations such as trading, clearance and settlement.

Generally, Assent will respond to any business disruption by safeguarding employees and property, making financial and operational assessments, and protecting the firm’s books and records

Updates

As company and industry conditions change, we will continuously revise our BCP plans as considered necessary. Any updates to this disclosure summary will be promptly made available on our website. Alternatively, you may obtain the most current disclosure summary by requesting a written copy by mail at: Assent, LLC (Member FINRA/SIPC), 5 Marine View Plaza, Suite 102, Hoboken, NJ 07030.

For more information – If you have questions about our business continuity planning, please do not hesitate to contact Assent at (201) 356-1400.