

Bird – Flu pandemic Continuity Contingencies

The NYSE has instructed member firms to have contingency plans in place in case of an outbreak of the bird flu.

Midwood Securities, Inc. plans to operate in such emergency under the following plan:

Any ill employees will be required to stay at home. Employees able to work will be divided between the New York and Freehold offices if possible. Should one office become inoperable, the other shall undertake all business activities. Our backup office has been tested and is already fully operational.

Telecommuting capabilities are being instituted to allow key personnel to operate from home. These capabilities provide access to Midwood's network, and to individual PCs and servers located at each of Midwood's offices. These capabilities are dependent upon the Internet and are secured by a combination of passwords and software encryption.

The Firm website has been updated to display the phone numbers of both offices, as well as the credit department and trading desk of our clearing firm

New York Office: 212-742-9600
New York Trading: 212-742-9570
800-366-9570

Freehold, NJ: 646-274-9570

Should there be no response at either of our offices, clients may call our clearing agent directly:

Credit Department: 800-775-7041 prompt 3

Trade Settlement: 804-787-6840

Trade Support: 877-860-0270

Clients will need to have their account numbers available, as well as have identifying information so that your identity can be confirmed.

Midwood Securities, Inc. has copies of our critical vendors' Business Continuity Plans, and would coordinate the actions of our firm in concert with the plans of our vendors in case of such an emergency. Should you have any further questions, you are encouraged to call the Compliance Officer at 212-742-9600.