

RLJ CAPITAL MARKETS LLC
BUSINESS CONTINUITY PLAN
SUMMARY DISCLOSURE STATEMENT

RLJ Capital Markets LLC (“RLJ”), pursuant to Financial Industry Regulatory Authority, Inc. (“FINRA”) rules, has created a Business Continuity Plan, to address and guide our response to and recovery from Significant Business Disruptions (“SBDs”). Copies of this Summary Disclosure Statement shall be given to all clients at the time they open their accounts with RLJ. RLJ’s Business Continuity Plan is subject to modification and an updated summary will be promptly emailed to our clients. Alternatively, clients may obtain updated summaries by requesting a written copy by mail or fax.

In all of the following scenarios, RLJ plans to continue business and our planned recovery time, depending upon the time of occurrence, should not exceed 24 hours from the time of the declaration of the SBD. Staff, telephone calls, and e-mails will return to their original location upon full restoration of service.

Disruption to a single building or our Firm’s main office

If a disruption occurs at our main office located at 3 Bethesda Metro Center, Suite 1000, Bethesda, MD 20814, we will work from the nearest suitable, reasonably available office location, or allow staff to work from home offices.

Disruption to a business district

If a disruption occurs in our business district affecting our main office, we will work from the nearest suitable, reasonably available office location, or allow staff to work from home offices. These locations shall be outside the business district.

City-wide business disruption

If a disruption occurs in our city-wide area that affects our main office, we will work from the nearest suitable, reasonably available office location, or allow staff to work from home offices. These locations shall be outside the city-wide area.

Regional disruption

If a regional disruption occurs that affects our main office located, we will work from the nearest suitable, reasonably available office location, or allow staff to work from home offices. RLJ has also contracted with various entities to insure that sensitive information is made redundant at back-up facilities. However, due to the nature of such information we do not disclose the specific location of any back-up facilities, any proprietary information contained in our Business Continuity Plan or the parties with whom we have back-up arrangements.

Please call if you should you have any questions at 301-280-7704.