



## ROTH's Business Continuity Plan Disclosure Statement

(Attachment to ROTH Capital Partners, LLC ("ROTH")'s Business Continuity Plan)

### 罗仕证券的业务连续性计划公开声明

(附加于：美国罗仕证券有限公司的业务连续性计划)

ROTH has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, ROTH will have to be flexible in responding to actual events as they occur. With that in mind, ROTH is providing you with this information on its business continuity plan.

罗仕针对如何应对严重扰乱我们正常业务的事件制定了一套业务连续性计划。由于灾害和破坏的时间和影响都是不可预测的，罗仕必须及时对此类事件的发生做出灵活的应对。考虑到这一点，罗仕提供给您有关其业务连续性计划的信息。

**Contacting Us** – If after a significant business disruption you cannot contact us as you usually do at (949) 720-5700, you should call our alternative number (949) 375-0579 or go to our web site at [www.ROTH.com](http://www.ROTH.com). If you cannot access us through either of those means, you should contact our clearing firm, Penson Financial Services, Inc., at <http://www.penson.com/> for instructions on how you can enter orders, access your funds and other account related information.

**联系我们**-如果您在业务中断后无法用常用电话(949) 720-5700与我们取得联系，请您拨打(949) 375-0579或者访问我们的公司网站[www.ROTH.com](http://www.ROTH.com)。如果您通过以上两种方式仍不能联系到我们，请您联系我们的清算公司-Penson 清算及外包服务公司，通过访问<http://www.penson.com/>下订单，取得您的资金和其他帐户相关信息。

**Our Business Continuity Plan** – ROTH plans to quickly recover and resume business operations after a significant business disruption 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 business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

**我们的业务连续性计划**- 罗仕计划在灾难冲击和业务中断时迅速做出回应，恢复业务运营，以保障员工及公司物产的安全、财务与运营状况的评估及公司的各项纪录，并能使我们的客户办理业务。总之，我们的业务连续性计划是为了使公司能够在业务中断和灾难冲击的影响下以最快的速度恢复业务运营。

Our business continuity plan 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; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.



我们的业务连续性计划针对于：数据备份与恢复；所有的关键系统；财务与运营评估；与客户、员工和监管机构的备用联系方式；雇员的供选择物理位置；关键供应商、承包商、银行及他相关人的影响；监管报告；并确保在业务无法继续之时，我们的客户能够及时调动他们的资金和证券。

ROTH's clearing firm, Penson Financial Services, Inc. backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments as quickly as possible. Your orders and requests for funds and securities could be delayed during this period.

罗仕的清算公司-Penson 清算与外包服务公司，在单独的地理区域备份了我们的重要记录。当每个基于外部影响的紧急情况发生时，例如发生的时间和破坏的严重程度，我们的清算公司告知我们他们的目标是在最快的时间内恢复运营，完成现有的交易，进行新的交易和付款。在这期间，您对订单、资金和证券的需求有可能会被延迟办理。

**Varying Disruptions** – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within one day. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within three days. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site [www.ROTH.com](http://www.ROTH.com) or our customer emergency number, (949) 375-0579 how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

**业务中断的不同**-重大的业务中断会发生在不同的范围，例如只在我们的公司，或公司所在的大楼、商业区、城市或者整个区域。在这些区域内，业务中断的严重性也会由小到大不同。在仅有我们公司或公司所在大楼的中断时，我们会根据需要将运营转移到另一个地方站点，并预计在一天之内恢复我们的业务。当中断影响公司所在的商业区、城市或整个区域时，我们会将业务运营转移到另外一个不受影响的地区，并在三天内恢复业务。在这两种情况下，我们计划继续我们的业务，并根据需要将业务运营转交给清算公司。我们会通过我们的网站[www.ROTH.com](http://www.ROTH.com)或我们的客户紧急联系电话 (949) 375-0579告知您如何与我们取得联系。如果发生重大业务中断使我们无法继续业务运营，我们将保证客户能及时调动他们的资金和证券。

**For more information** – If you have questions about our business continuity planning, you can contact us at (949) 720-5747 or [kblair@roth.com](mailto:kblair@roth.com).

**获取更多信息**-如果您有任何有关我公司业务连续性计划的疑问，请拨打(949) 720-5747 或发邮件[kblair@roth.com](mailto:kblair@roth.com) 联系我们。