



Business Continuity Summary

Thompson Davis & Co., Inc. (“TD&Co.”) is committed to providing uninterrupted service and support to its clients and employees in the event of a significant business disruption. In accordance with FINRA regulations, this page provides TD&Co. clients, and the public, with a summary of our Business Continuity Plan (“BCP”). The plan documents how we will respond to a wide variety of events that may significantly disrupt our business, and it is designed to allow us to continue critical operations and resume normal operations as quickly as possible, given the scope and severity of the disruption. Since the timing and impact of disasters and disruptions is unpredictable, we must remain flexible in responding to actual events as they occur.

We plan 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.

Our BCP 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.

In the event that we must implement our BCP, clients may contact us by calling 804-644-6380 or by emailing info@thompsondavis.com. We will also provide information on our website, www.thompsondavis.com. If after a significant business disruption, you cannot contact us as you usually do, you should call our alternate number, 866-200-8002.

Our clearing firm, RBC Clearing & Custody (“RBC”), maintains a BCP (an executive summary of its plan is [here](#)). In the event RBC executes its plan, it represents that its objective is to promptly restore its own operations and be able to complete existing transactions and accept new transactions and payments. Your orders and requests for funds and securities could be delayed during this period.

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 local sites when needed and expect to recover and resume business within 48 hours. 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 a few days. In either situation, we plan to continue in business and will provide information via our website, www.thompsondavis.com. If TD&Co. is unable to continue business following a significant disaster, we will assure our customers prompt access to their funds and securities.

We review our BCP annually to ensure appropriate updates are made. Should a material change occur, this plan will be updated accordingly. If you have any questions, please email info@thompsondavis.com, call 804-644-6380 or write to us at 9030 Stony Point Pkwy, Ste 100, Richmond, VA 23235.