

Information Notice

Guidance for Firms Potentially Affected by Hurricane Isaac

Executive Summary

In light of the tropical storm and hurricane warnings for coastal Louisiana, Mississippi, Alabama and the Florida Panhandle, FINRA is encouraging member firms with offices in the affected areas to prepare to implement business continuity plans.

Questions regarding this *Notice* should be directed to Daniel M. Sibears, Executive Vice President, Member Regulation Programs, at (202) 728-6911.

Preparations for Hurricane Isaac

FINRA encourages member firms with offices in the areas potentially affected by Hurricane Isaac to prepare to implement business continuity plans. In particular, FINRA advises firms to consider emergency office relocations, safety of and communications plans among firm management and personnel, qualifications and continuing education appointments, books and records preservation, the handling of customers' funds and securities, and customer communications.

To obtain additional information about preparing for and addressing emergency situations, firms may review the following tools and resources:

- ▶ [Regulatory Notice 05-57](#) (Guidance to Members Affected by Hurricane Katrina)
- ▶ [Regulatory Notice 06-74](#) (Business Continuity Planning—Member Business Continuity Experiences Regarding Hurricanes Katrina and Rita)
- ▶ [Regulatory Notice 09-59](#) (Business Continuity Planning—FINRA Provides Guidance on Pandemic Preparedness)
- ▶ [Business Continuity Planning](#)

August 28, 2012

Notice Type

- ▶ Guidance

Suggested Routing

- ▶ Executive Representative
- ▶ Senior Management

Key Topic(s)

- ▶ Business Continuity

New Orleans District Office

FINRA's New Orleans District Office is closed Tuesday, August 28, 2012, and may remain closed on Wednesday, August 29, 2012. Firms assigned to the New Orleans District Office may direct inquiries to any of three other FINRA Offices in the South Region:

- ▶ Dallas District Office (972) 701-8554
- ▶ Florida District Office (561) 443-8000
- ▶ Atlanta District Office (404) 239-6100