



CRONIN & CO., INC.

FIXED INCOME SECURITIES

Business Continuity Plan Disclosure Statement

As required by FINRA Rule 4370, Cronin & Co., Inc. has developed a Business Continuity Plan describing how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, the following information provides a summary of our plan.

Contacting Us

If after a significant business disruption you cannot contact us as you usually do at (612) 339-8561, you should go to our web site at <http://www.cronincoinc.com>. If these methods of contact are not responsive, then you can directly contact our clearing firm Pershing LLC at <http://www.pershing.com>.

Our Business Continuity Plan

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. 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.

Our business continuity plan addresses: data back up 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 counterparty impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Varying Disruptions

Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, our neighborhood, the city of Minneapolis, the entire state of Minnesota and/or Midwest 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 quickly.

In a disruption affecting our neighborhood or city, we will transfer our operations to a site outside of the affected area, and recover and resume business as soon as possible. In either situation, we plan to continue in business and notify you through our web site, <http://www.cronincoinc.com> or our main telephone number: (612) 339-8561, how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will attempt to assure our customer's prompt access to their funds and securities.

Updates

Our business continuity plan is subject to modification. Descriptions of our updated plans will be promptly posted to our website. You may alternatively obtain a description of our current plan by requesting a written copy by mail.

For More Information

If you have questions about our business continuity planning or would like additional information, please contact RaNae Martinson, Chief Compliance Officer, at (612) 339-8561 or via e-mail at ranaem@cronincoinc.com.