

Business Continuity Plan

State of the Art Account Security: &Partners has developed a Business Continuity Plan designed to permit our firm to resume operations as quickly as possible in the event of an emergency. Since the timing and impact of disasters are unpredictable, flexibility is essential in responding to actual events as they occur.

Should a disruption occur: If we experience a significant business disruption and you cannot contact us through customary means, please call our emergency number 615-353-9875. Please note that this emergency number will be available during normal business hours (8:00AM CST – 4:30PM CST) only in the event that our primary phone service becomes unavailable. If you cannot access us through the emergency number, you should contact your clearing firm, Pershing, LLC, at 201-413-3635 or National Financial Services, LLC (“NFS”) at 877-262-5950, for instructions on accessing general services such as prompt access to funds and securities, order entry, and processing other trade related cash and security transfer transactions.

Business Continuity Plan: We have designed a plan to assure quick recovery and resumption of business operations after a significant business disruption including:

- Safeguarding our employees and property
- Making a financial and operational assessment
- Protecting the firm’s books and records
- Allowing clients to transact business

Business Continuity Plan addresses:

- Data back-up and recovery
- All mission critical systems
- Financial and operational assessments
- Alternative communications with clients, employee, and regulators
- Alternate physical location of employees
- Critical supplier, contractor, bank, and counter-party impact
- Regulatory reporting
- Assuring clients prompt access to their funds and securities if we are unable to continue doing business

Pershing and NFS' Business Continuity Plans are reviewed no less than annually to ensure the appropriate updates are made to account for operations, technology, and regulatory changes. Material changes will be reflected in an updated "Notice of Business Continuity". To obtain a copy of this notice at any time, contact NFS or Pershing directly.