

## **Business Continuity Plan Disclosure for Huntleigh Securities Corporation**

Huntleigh Securities Corporation (HSC) is committed to providing the services and support systems necessary to conduct uninterrupted business under regular and irregular conditions. This Business Continuity Plan (BCP) Disclosure provides summary detail on HSC's risk mitigation strategy in the event of interruption(s) to daily business operations. Our Business Continuity Plan provides procedures to be followed to ensure HSC can continue to support its obligations to clients and customers in the event of a major disruption. The BCP and this disclosure are intended to comply with obligations pursuant to regulatory rules and requirements of the Financial Industry Regulatory Authority (FINRA).

HSC maintains several office locations in the St. Louis region, in both Missouri and Illinois. Our multiple locations allow HSC to maintain lines of business in the event that a single location is affected by a significant business disruption (SBD). These additional locations will serve as back-up sites in the event the home office is subject to an SBD. Regardless of the scope of the disruption (firm-only, single building disruption, and area- or city-wide disruption), we believe that our plan adequately identifies and mitigates our risk as it pertains to business continuity.

HSC maintains updated contact lists for all employees as well as specific lists as they relate to disaster recovery responsibilities. We can contact our employees through a number of methods, including email, telephone, or in person. All of our senior managers will be contacted directly in the event of a significant business disruption.

HSC believes that business continuity planning is a year-round responsibility, with the efforts lead by senior management and our IT group. We have three offices located within 50 miles of our home office operations center. In the event of an emergency, key personnel may be relocated to one of our back-up sites. All servers and connections are maintained and tested during the year to provide redundancy for all mission critical systems. Workstations, phones, printers, fax machines and all other business tools are kept at each back-up location.

HSC maintains updated contact lists for all mission critical systems, including trading, operational, settlement, banking and regulatory contacts. All mission-critical systems are backed up and accessible remotely. Mission-critical systems are defined by HSC and have real-time recovery that is either immediate or within 12 hours at the off-site or back-up location. HSC owns and houses its disaster recovery hardware and IT staff perform maintenance and upkeep as necessary throughout the course of the year. Our back-up equipment is fully dedicated to disaster recovery and is not used for any other purpose. All connections and data storage facilities are fully operational at all times and monitored to ensure uninterrupted operations.

HSC accepts customer funds and securities, and forwards them to our clearing firm, where the majority of our firm and client positions are held in safekeeping at the Depository Trust Company. Certificates which are held temporarily in our home office are maintained in a fire-proof safe, and computer records of the ownership of those certificates are maintained. Customer checks are deposited to our bank daily.

Our business continuity plan is intended to allow HSC to respond to a significant business disruption by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the firm's books and records, and allowing our customers to transact business. In the event that we determine we are unable to continue our operations, we will assure customers prompt access to their funds and securities through temporary means until a permanent solution is established. We have evaluated numerous emergency situations and designed multiple solutions to meet various circumstances and disaster scenarios. Regardless of all the effort put forth on this vital concern, we acknowledge that no disaster recovery plan is perfect. The unpredictable nature of disasters precludes absolute preparedness for any plan. Certain situations may arise that affect outside entities upon which we rely for a service or collaboration. Though our plan is tested and reviewed regularly, it is possible for circumstances to arise outside the scope of what has been defined in our disaster planning.

HSC's BCP is subject to change without notice. In the event that the BCP is modified, affecting this disclosure, the updated disclosure will be posted to the HSC website, [www.hntlgh.com](http://www.hntlgh.com). A hardcopy of our BCP Disclosure can be requested by calling (314) 236-2400. If, at any time, you cannot reach us as you normally do, please try contacting us through one of our branch offices at (877) 784-4868 or (800) 766-8661.