

## **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's home office is located in St. Louis, Missouri, and we maintain several office locations in the St. Louis region, in both Missouri and Illinois. We have additional branches in various locations around the country. 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 local, national or world-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 led by senior management and our IT group. We have two 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. In addition, key personnel are equipped to work from home/remotely as needed.

Our business continuity plan 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, and bank impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

HSC accepts customer funds and securities, and forwards them to our clearing firm, First Clearing (FCC), where our firm and client positions are held in safekeeping. FCC backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 12 hours. Your orders and requests for funds and securities could be delayed during this period.

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 hard copy 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 at our primary back-up branch office at (877) 784-4868, or through the contact information listed on our website.