



## **Business Continuity Plan Disclosure**

National Securities Corporation has developed a Business Continuity Plan on 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, we are providing you with this information on our business continuity plan.

**Contacting Us** – If after a significant business disruption you cannot contact your representative as you usually do, you should call either of two alternative telephone numbers: 206-622-7200 or 212-417-8000 or go to our web site at [www.nationalsecurities.com](http://www.nationalsecurities.com). If you cannot access us through either of those means, you should contact the clearing firm that maintains your account, National Financial Services at **1-800-877-2410** or Penson Financial Services at **1-800-696-3585** for instructions on how they may assist you by providing prompt access to funds and securities, entering orders and processing other trade-related, cash, and security transactions.

**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 counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities at all times possible.

Our clearing firms, National Financial Services and Penson Financial Services back 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 firms that their objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments as efficiently as possible. Your orders and requests for funds and securities could however be delayed during this interim period.

**Varying Disruptions** – Although significant business disruptions can vary in their scope, such as a single building, a business district, a city or an entire region, National Securities maintains principal offices on both the east and west coasts which should minimize the severity of any potential disruption of business and our service to you, our client. In the case of a disruption, our firm should be able to continue to operate out of at least one of the principal offices located in Seattle and New York City. If a significant event occurs, we plan to continue in business, transferring operations to our clearing firm if necessary, and notify you through our web site [www.nationalsecurities.com](http://www.nationalsecurities.com) or our customer emergency numbers 206-622-7200 or 212-417-8000. If the significant business disruption is so severe that it prevents us from remaining in business, we will make every attempt to provide you prompt access to your account through National Financial or Penson Financial.

**For more information** – If you have questions about our business continuity planning, you may contact us at 206-622-7200. Our Business Continuity Plan is subject to modification. Updated disclosure statements, as applicable, will be posted to the firm's website and are available via mail upon written request.