

Business Continuity

The Financial Industry Regulatory Authority (FINRA), formerly the National Association of Securities Dealers, has adopted rules requiring firms to implement plans for the continuation of business in the event of a significant disruption. "Significant disruption" refers to local or regional events such as natural disasters, fires, power outages, acts of malice, and technical or infrastructure disruptions.

In accordance with the rules, **Security Distributors** has developed and implemented a business continuity plan. Among other steps, we have created a network of secondary business sites as backups to our normal business location and have arranged backup communications capabilities for connectivity both internally and with our account holders.

Our purpose is to ensure that we are able to continue conducting our business activities and serving our account holders with the least possible impact in the event of any of the disruptive events described above or other unforeseen circumstances.

If you have questions about Security Distributors' business continuity planning, please contact us at 800.888.2461.