

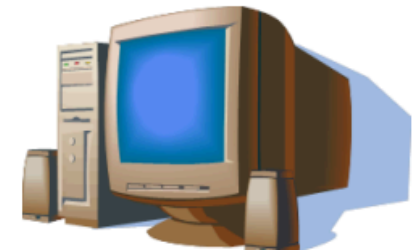
### ***Varying Disruptions***

Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business operations as quickly as possible. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area and recover and resume business operations as quickly as possible. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our website [www.brooklightplacesecurities.com](http://www.brooklightplacesecurities.com) or other alternative communications on how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

***For more information*** - If you have questions about our privacy notice, or business continuity planning, you may contact us at our toll-free telephone number (888) 976-0659 or visit us at [www.brooklightplacesecurities.com](http://www.brooklightplacesecurities.com)



# **BUSINESS CONTINUITY PLANNING**



## **BROOKLIGHT PLACE SECURITIES, INC.**

**16930 E. Palisades Blvd Ste. 100-D  
Fountain Hill, AZ 85268**

Brooklight Place Securities, Inc. has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. As background, Brooklight Place Securities, Inc. has a Business Continuity Management Team (BCMT) which acts at a strategic level to ensure that critical decisions are made at the executive level in order to support ongoing overall business continuation. The BCMT provides critical direction to the business continuity recovery team who will rely on management decisions at time of disaster. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing this information on our business continuity plan.

#### **Contacting Us**

- If after a significant business disruption you cannot contact us as you usually do through our toll free telephone number at (888) 976-0659, you should go to our Web site at [www.brooklightplace.securities.com](http://www.brooklightplace.securities.com). If you cannot access us through either of those means, for assets held at a mutual fund company or variable annuity sponsor, you should contact them directly.

Information about accounts maintained by our clearing firm may be accessed by logging on to the Investor Connect Website at [www.investor-connect.com](http://www.investor-connect.com). For any account, please feel free to contact your local representative. Our firm does not maintain custody of customers' funds or securities, which are maintained at our clearing firm or at a mutual fund company or variable annuity sponsor.

#### ***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. Brooklight Place Securities, Inc. has taken the necessary steps to ensure the resumption of critical business functions in the event of a crisis that impacts our ability to function at our primary location.

Those critical functions relating to our firm include items such as securities transactions processing, access to markets and order receipt. This is affected through a rigorous and focused recovery plan supported by a comprehensive infrastructure and contracted recovery-related services. The key components are

#### **Business Continuity Plan and BCMT Recovery Plan**

Periodic revision and enhancement of the Business Continuity Plan

Scheduled and executed business continuity and disaster recovery exercises

Our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, board members and regulators; alternate physical location(s) of employees; critical suppliers, contractors and banking relationships; regulatory reporting; and assuring our customers have prompt access to their funds and securities if we are unable to continue our business.

