



Information about the ProEquities Business Continuity Plan

Purpose

The purpose of this document is to provide our customers with information about the actions we will take if an emergency or other event substantially disrupts our normal business operations either for the firm as a whole, or one or more of our offices. We have described a number of different scenarios below to give you a general understanding of the policies and procedures that we will employ in the event of business disruptions of different lengths and severity, such as a fire in one of our offices, a hurricane or flood that forces the evacuation of a city or county, or a terrorist attack that disrupts business for weeks throughout an entire region.

ProEquities' mission is to ensure the continuous delivery of service to our customers while maintaining compliance with applicable regulatory requirements.

Contacting Us

You may contact ProEquities by phone (800-288-3035), email (support@proequities.com), or at our web site (www.proequities.com). If you cannot access us by any of these means you should contact your registered representative for instructions.

The ProEquities business continuity plan is subject to modification at any time. Updated plans will be promptly posted on our web site. You may also obtain an updated plan by requesting a written copy of the plan by mail, at 2801 Highway 280 South, Birmingham, AL 35223.

Scenario Responses

The following activities will cause ProEquities to declare a business continuity event and activate the plan.

Business Disruption Event	Estimated Length of Time for Recovery	Actions ProEquities will Take
A disruption that affects only ProEquities' ability to conduct business, such as a failure of our computer systems	One hour or less	Associates will be able to place trades via phone directly to our clearing firm, Pershing
One of our buildings must be evacuated or is unavailable as a result of a specific building-related issue	Four to eight hours to re-locate associates to alternate facility	Associates in that building will be relocated locally and will service customers from that location
An event occurs that forces the evacuation of a business district, or prevents people from having access to the area	Four to twelve hours to re-locate associates to alternate facility	Associates in the affected area will be relocated locally and will be able to service customers from that location
An event occurs that affects an entire city	One day to re-locate affected associates to an alternate regional location	Associates in the affected area will be relocated and will be able to service customers from that location
An event occurs that affects an entire regional area, such as a county or multiple counties.	Two days or more to relocate associates to another area	Relocate associates to another region or to a mobile office unit

Assumptions

Our ability to take the actions described in this notice will depend on a number of factors, some of which may be beyond our control:

- Availability of critical infrastructure (such as electricity, water, heat, ventilation, telecommunications, air conditioning, U.S. Mail or overnight delivery service, etc.) for as long as the alternate facility is needed
- Availability of adequate staffing
- Accessibility of roads or public transportation available to allow ProEquities associates to reach alternate location
- Availability of our clearing firm, Pershing LLC
- Accessibility and operation of alternate offices, customer sites and other facilities to be used by displaced ProEquities associates