

## Business Continuity Plan Letter

### Howard Bailey Securities, LLC Business Continuity Planning

Howard Bailey Securities, LLC (“Howard Bailey”) has developed a Business Continuity Plan for how we will respond to events that significantly disrupt our business. 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 you with this information on our Business Continuity Plan.

**Contacting Us** – If after a significant business disruption (“SBD”) you cannot contact us as you usually do, you should call the company that issues your account statements directly or check our website at [www.howardbailey.com](http://www.howardbailey.com).

**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 Howard Bailey’s books and records, and allowing our customers to transact business. In short, our Business Continuity Plan is designed to permit Howard Bailey to resume operations as quickly as possible, given the scope and severity of the SBD.

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, bank and counter-party impacts; regulatory reporting, and assuring our customers prompt access to their funds and assets if we are unable to continue our business.

**Varying Disruptions** – Significant business disruptions can vary in their scope, such as only at Howard Bailey, a single building housing Howard Bailey, the business district where Howard Bailey 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 Howard Bailey or a building housing Howard Bailey, we will transfer our operations to a local site when needed, and we expect to recover and resume business within 2 business days. 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 within five business days. In either situation, we plan to continue in business and will notify you through email or our website, and will provide information on how to contact us. If the SBD is so severe that it prevents us from remaining in business, we will assure our customers’ prompt access to their funds and securities.

**For more information** – If you have any questions about our Business Continuity Plan, you may contact us at:

Howard Bailey Securities, LLC  
6526 West Jefferson Blvd.  
Fort Wayne, IN 46804

**Phone:** (866) 482-9559

**Email:** [info@howardbailey.com](mailto:info@howardbailey.com)