

## UNITED PLANNERS FINANCIAL SERVICES - BUSINESS CONTINUITY PLAN

### Contacting Us

If, after a significant business disruption, you cannot contact us as you usually do through your advisor at his or her local office, please call our main number in Scottsdale, AZ: (480) 991-0225 or go to our main website at

[www.unitedplanners.com](http://www.unitedplanners.com). If the business disruption is limited to your advisor's local area, you may access your funds and securities and enter transactions directly through United Planners' home office.

In the event the business disruption affects United Planners' home office location, we will post a bulletin on [www.unitedplanners.com](http://www.unitedplanners.com), advising you of the status of our operations and providing you with instructions on how you may access your funds and securities.

If you cannot access us through any of the means described above, you should contact our clearing firm, Pershing, at (201) 413-3635. The clearing firm will provide you with instructions on how to access your funds or securities, enter orders, or process other account-related transactions.

### Our Business Continuity Plan

We plan to quickly recover and resume business operations after a significant business disruption and to 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. A cross-functional team of senior personnel is responsible for evaluating any disruption and instituting the appropriate plan of action.

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 impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

United Planners incorporates redundancies to back up our important records and our clearing firm, Pershing, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as the time of day and the severity of the disruption, we have been advised by our clearing firm that their objective is to restore their own operations and to be able to complete existing transactions and accept new transactions and payments within four hours of a local, non-severe business disruption. United Planners will employ our contingency plan and expects to be able to facilitate securities transactions with minimal disruptions; however your orders and requests for funds and securities could be delayed during this period.

