

Business Continuity Planning Summary

Plan Summary

United Brokerage Services, Inc has developed a Business Continuity Plan on 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 you cannot contact us as you usually do at 888-424-6158. If you cannot access us through either of those means, you should contact our clearing firm, Wells Fargo Clearing Services at 877-496-3223.

Our Business Continuity Plan – United Brokerage Services, Inc. is a member of the Securities Investor Protection Corporation (SIPC). United Brokerage Services, Inc. does not hold client funds or client securities so the likelihood of a default requiring SIPC intervention is remote. However, should a determination be made that our firm is unable to meet our obligations to our customers or if our liabilities exceed our assets in violation of Securities Exchange Act Rule 15c3-1, SIPC may seek to appoint a trustee to disburse our assets to customers. Should such action be necessary, we will assist SIPC and the trustee by providing our books and records identifying customer accounts subject to SIPC regulation and notifying our vendor partners of the situation to facilitate cooperation. FINRA Rule 4370 a; SEC Act Rule 15c3-1; USC 78eee (2003). Management has primary responsibility for establishing and maintaining our business relationships with our customers and has sole responsibility for our mission critical functions for order processing and remittance processing, client service and internal control. Our business vendor partners provide, by agreement, the maintenance of customer accounts, access to customer accounts, and the distribution of funds. We have contacted our business constituents/suppliers to require the existence of a business continuity plan, the maintenance of such a plan and the capacity to execute that plan. Our business vendor partner firms represent that they will advise us of any material changes to their plan that might affect our ability to maintain our business. In the event any of our business vendor partner firms execute their plan, they represent that they will notify us of such execution and provide us equal access to services and instructions as to alternate arrangements for business processing. FINRA Rule 4370 (c)(7). Our vendor partner firms represent that there is back up for records at a remote site and they represent that they operate a back-up operating facility in a geographically separate area with the capability to conduct the same volume of business as its primary site. Our vendor partner firms have also confirmed the effectiveness of their back-up arrangements and periodic testing of their arrangements are conducted. It is firm practice to confirm this arrangement periodically.

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 within 24 hours.

For more information – If you have questions about our business continuity planning, you can contact us at 888-424-6158 or e-mail mearl@united-brokerage.com.