



## BUSINESS CONTINUITY

Sunbelt Securities, 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 713-965-9510, you should call our alternative number 713-253-4700 (Patrick Smetek) or 713-819-1439 (David Smetek) or go to our website at [www.sunbeltsecurities.com](http://www.sunbeltsecurities.com).

If you cannot access us through either of those means, you should contact one of the following individuals; Ray Miller 713-614-7777, Cara McKee 281-513-5396, Thomas Buckley 281-380-4978 or Dagny Young 214-766-9347. You should also be able to contact your Registered Representative directly.

**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.

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.

Our clearing firm, NFS, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within the same business day. Your orders and requests for funds and securities could be delayed during this period.

**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 the same business day.

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 2-3 business days.

In the event of an epidemic or pandemic, we would instruct all non-essential personnel to continue working remotely from a safe location, such as their own homes, in order to mitigate the spread of the contagion through social distancing. In the event of a mandatory quarantine, all personnel shall continue business operations remotely. We have electronically stored our asset management data, financial data and other important documents and would be able to access them remotely if needed. Incoming calls will be forwarded to the home or cell phone number of employees, if possible. We would utilize whatever means necessary to contact our investors including email, website, telephone, and mail.

In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site [www.sunbeltsecurities.com](http://www.sunbeltsecurities.com) or customer emergency number, 713-253-4700. If the significant business disruption is so severe that it prevents us from remaining in business, you may contact the NFS Customer Service Line at 800-801-9942 which will assure our customer's prompt access to their funds and securities. *(Please note that the representatives at this number will **only** be able to assist you with your account in the event that our firm goes out of business entirely. If this is not the case and we are simply experiencing a temporary business disruption, you should follow the alternate routes of contact previously mentioned.)*

**FOR MORE INFORMATION** – If you have questions about our business continuity planning, you can contact us at 713-965-9510.