

## **Business Continuity Plan (BCP) Disclosure Statement:**

LFS has created a BCP that provides continuation of client services within a reasonable amount of time, depending upon the scope and severity of a significant business disruption (SBD). The BCP anticipates responding to both internal and external SBDs.

**Internal SBDs:** An internal SBD, such as the loss of our telephone system, affects only LFS. Depending upon the situation, we will respond by:

- Re-routing calls to secondary numbers.
- Relocating our primary office to a secondary location.
- Recovering data from a back-up storage media or a back-up site.

LFS expects to recover from an internal SBD within one hour.

**Secondary Contact Information:** In the event that an SBD prevents you from contacting us by using our primary phone number, fax number, or email address, you may contact us by using the following secondary contact information:

- **Secondary Phone:** 815-263-0641
- **Secondary Email:** [tac1960@comcast.net](mailto:tac1960@comcast.net)

**External SBDs:** An external SBD, such as a power outage or flood, affects multiple businesses and can be local, regional, national, or global. LFS' response to an external SBD relies more heavily on other organizations such as our clearing firm, Hilltop Securities, and product sponsors. We expect to recover from an external SBD within six hours.

**Primary and Secondary Disruptions:** If an SBD disrupts both primary and secondary methods of contacting us, you should call Hilltop Securities at 1-866-797-5227 and/or product sponsors at the number provided on quarterly statements.

Hilltop Securities and/or the product sponsors maintain customer accounts and can deliver funds and/or securities. In the event an SBD renders us unable to receive your orders, we will instruct Hilltop Securities and/or product sponsors to provide you with instructions and assistance on how you can gain prompt access to your funds and securities.

**Clearing Firm Disruptions:** If the SBD disrupts the Hilltop Securities systems, your orders and request could be delayed while it restores operations, and resumes accepting orders and completes existing orders. Hilltop Securities expects to resume accepting orders within a reasonable amount of time.

While no contingency plan can eliminate all risks of service interruption or temporarily impeded account access, LFS continually assesses and updates its BCP to mitigate all reasonable risk.

This disclosure is subject to modification.