

## Business Continuity Summary

Coordinated Capital Securities, Inc. (CCS) has a business continuity plan to provide for an orderly return to normal business operations after a significant disruption. While a catastrophic event may negatively impact our ability to continue to transact business, we have attempted to identify potential disruptions and methods to continue to operate in the event such disruptions occur.

The strategy of our business continuity plan is to take all reasonable and appropriate steps to protect our associates, financial professionals, and customers as well as the services we provide to our financial professionals and customers.

Our business continuity plan addresses data backup and recovery; 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 were unable to continue our business.

We have integrated our plan with business continuity plans of third-party services providers, including our clearing firm First Clearing<sup>1</sup>. CCS and First Clearing regularly back up its important information 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, our objective is to restore operations in a timely manner. First Clearing has advised us that their objectives are to restore their own operations and be able to complete existing transactions and accept new transactions and payments in a timely manner. If the disruption is staff only (for example, pandemic) we will redirect the available home office staff to service the critical and essential processes needed to keep business operations functioning. If necessary, certain key home office staff members will work from an established remote location to assist in the recovery of business operations.

### Contacting Us.

If, after a significant business disruption, or if you are unable to contact your Financial Professional as you usually do, you may call us directly at **608-221-4545 or toll-free at 800-783- 6666**

If you are unable to reach us or your Financial Professional, you may go to our website at [www.ccsmadison.com/#disclosures](http://www.ccsmadison.com/#disclosures) for instructions.

Contact First Clearing *for limited* trade-related transactions, cash disbursements and security transfers for accounts held through them. The business continuity support line is **877-496-3223**.

If your account is held directly with the investment sponsor or other custodian, you may contact them directly at the telephone number listed on your account statement.

### For More information:

A complete copy of our Business Continuity Plan is available to customers upon written request.