

#### **IV. Business Description**

Patrick Mossman and Mossman Financial Solutions, LLC primarily conduct securities and insurance business on behalf of clients, their businesses, and their families.

NEXT Financial Group, Inc.(NEXT) is our affiliated broker-dealer and performs many back-office and support related functions. All transactions are sent to Pershing LLC (the clearing firm for NEXT), which executes our orders, compares them, allocates them, clears and settles them. Pershing LLC also maintains our customers' accounts, can grant customers access to them, and delivers funds and securities. Mossman Financial Solutions, LLC also maintains relationships with third parties which custody assets elsewhere such as an investment company, insurance carrier, trust company or other direct issuer.

NEXT Financial Group is located at: 2500 Wilcrest, Suite 620, Houston TX 77042 and can be reached by phone at (877) 876-6398 or (713)789-7122 (option 0).

Pershing LLC is located at: One Pershing Plaza, Jersey City, NJ 07399 and can be reached by phone at (201)413-3635.

#### **V. Office Location:**

Our office location is:

961 Water Street

Suite A

Kerrville, TX 78028

830-257-7283

Patrick Mossman and Mossman Financial Solutions, LLC primarily conduct securities and insurance business on behalf of clients, their businesses, and their families. Patrick Mossman and Mossman Financial Solutions, LLC do not custody client assets and any client funds received at this location are forwarded to the appropriate investment/sponsor destination within 24 hours.

#### **VI. Alternative Physical Location(s) of Employees**

In the event of an SBD that effects our office location, our staff will relocate to 540 Mockingbird Lane, Kerrville, TX 78028. If our alternate location is also effected by the SBD we will make best efforts to secure workspace that has not been impacted by the SBD within 24 hours.

#### **VII. Customers' Access to Funds and Securities**

Pershing LLC maintains our customers' brokerage accounts, can grant customers access to them, and delivers funds and securities.

Pershing LLC is located at: One Pershing Plaza, Jersey City, NJ 07399 and can be reached by phone at (201)413-3635.

Mossman Financial Solutions, LLC also maintains relationships with third parties which custody assets elsewhere such as an investment company, insurance carrier, trust company or other direct issuer. Clients can contact these companies directly to obtain access to investment and/or insurance account(s). Clients' statements will help determine the location and contact information for each investment.

#### **VIII. Data Back-Up and Recovery (Hard Copy and Electronic)**

Mossman Financial Solutions, LLC maintains its primary hard copy books and records at:  
961A Water Street, Kerrville, TX 78028

# Mossman Financial Solutions, LLC Business Continuity Plan (BCP)

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## I. Introduction

These pages document the Business Continuity Plan (BCP) for Mossman Financial Solutions, LLC. The purpose of this BCP is to document the plans for the recovery of our critical business functions and systems in the event of a business disruption.

## II. Emergency Contact Persons

Our firm's two emergency contact persons are: Patrick Mossman, cell phone 830-285-5251, email [pmossman@nextfinancial.com](mailto:pmossman@nextfinancial.com), Investment Advisor, and Jeana Brown, cell phone 254-396-3254, [jeana.brown@nextfinancial.com](mailto:jeana.brown@nextfinancial.com), Investment Advisor Representative Assistant. These names will be updated in the event of a material change.

## III. Firm Policy

Mossman Financial Solutions, LLC policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and our property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of our firm's books and records, and allowing our customers to transact business. In the event that we determine we are unable to continue our business at this, or our alternate, office location within 24 hours, we will direct our customers to the following for questions and status updates: NEXT Financial Group, Inc., 2500 Wilcrest Suite 620, Houston, TX 77042 (877) 876-6398 or (713)789-7122 (option 0). If Patrick Mossman or NEXT personnel are unreachable, brokerage clients may contact Pershing LLC (201) 413-3635 for emergency assistance and to access client funds. Mossman Financial Solutions, LLC also maintains relationships with third parties which custody assets elsewhere such as an investment company, insurance carrier, trust company or other direct issuer. Clients can contact these companies directly to obtain access to investment and/or insurance account(s). Client statements will help determine the location and contact information for each investment.

### A. Significant Business Disruptions (SBDs)

Our plan anticipates two kinds of SBDs, internal and external. Internal SBDs affect only our office's ability to communicate and do business, such as a communications failure or a fire in our building. External SBDs prevent the operation of the securities markets or a number of branches, such as a terrorist attack or a wide-scale, regional disruption. Our response to an external SBD relies more heavily on other organizations and systems, especially on the capabilities of NEXT Financial, Inc. and Pershing LLC.

### B. Approval and Execution Authority

Patrick Mossman is responsible for approving this plan and for reviewing it in the registered location annually and with employees of the registered location. Patrick Mossman has the authority to execute this BCP.

### C. Plan Location and Access

Mossman Financial Solutions, LLC will maintain copies of its BCP plan and reviews and changes that have been made to it. An electronic copy of our plan is located on the [Mossman Financial Solutions, LLC website ... www.callmossman.com](http://www.callmossman.com).

Mossman Financial Solutions, LLC subscribes to the services of NetX360, which is the Pershing platform for maintaining brokerage client data.

Mossman Financial Solutions, LLC subscribes to Albridge Solutions, which provides compiled current and historic client account data from multiple investment and insurance providers.

Mossman Financial Solutions, LLC maintains its primary electronic backup disks/hard drives at:  
961 A Water Street, Kerrville, TX 78028

Mossman Financial Solutions, LLC maintains its primary web-based electronic backup records with the following service:

Carbonite

Patrick Mossman is responsible for the maintenance of all hard copy and electronic format books and records.

In the event of an internal or external SBD that causes the loss of our paper records, we will physically recover them from our backup or electronic copies. If our primary site is inoperable, we will continue operations from our back-up site or an alternate location. For the loss of electronic records, we will either physically recover the storage media or electronically recover data from our back-up site, or, if our primary site is inoperable, continue operations from our back-up site or an alternate location.

**IX. Alternate Communications Between Mossman Financial Solutions, LLC and Customers**

Mossman Financial Solutions, LLC now communicates with our customers using the telephone, e-mail, our website, fax, U.S. mail and in-person visits at our office or another location. In the event of an SBD, we will assess which means of communication are still available to us, and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party. For example, if we have communicated with a party by e-mail but the Internet is unavailable, we will call them on the telephone and follow up where a record is needed with paper copy in the U.S. mail.

**X. Updates and Annual Review**

Mossman Financial Solutions, LLC will update this plan whenever we have a material change to our operations, structure, business or location or to those of NEXT or Pershing. In addition, Mossman Financial Solutions, LLC will review this BCP annually to assess potential modification requirements.

**XI. Approval**

I, Patrick Mossman, have approved this Business Continuity Plan as reasonably designed to enable Mossman Financial Solutions, LLC to meet its obligations to customers in the event of an SBD.

Signed:



Title:

Investment Advisor

Date:

2-14-18

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