

**BUSINESS CONTINUITY PLAN /DISASTER RECOVERY PLAN:**

FINRA broker-dealers are required to create and maintain a Business Continuity Plan (BCP); It also requires that emergency contact information regarding the BCP be provided to FINRA through the FINRA Contact System (FCS) at [www.finra.org/ncs.asp](http://www.finra.org/ncs.asp)). Our CCO in relation to the requirements of Rule 4370 and will retain related books and records.

S.G. Long & Company, SGL Financial Services, Corp., and SGL Financial Advisors, Inc. (hereinafter, "the Company" or "the firm") has adopted this Disaster Recover/Business Continuity Plan (hereinafter, the "Plan") to provide for the firm's recovery from an emergency or disaster and for the resumption of business operations in as short a period of time as possible. These policies and procedures are, to the extent practicable, designed to address those specific types of disasters that the Company might reasonably face given its business and location.

Our plan anticipates two kinds of SBDs (Significant Business Disruption), internal and external. Internal SBDs affect only our firm's ability to communicate and do business, such as a fire in our building. External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a city flood, 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 our clearing firm.

**Firm Policy:** Our firm's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the 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; we will assure customers have prompt access to their funds and securities.

**Background:**

Since the terrorist activities of 9/11/2001, all advisory firms need to establish written disaster recovery and business continuity plans for the firm's business. This will allow advisers to meet their responsibilities to clients as a fiduciary in managing client assets, among other things. It also allows a firm to meet its regulatory requirements in the event of any kind of an emergency or disaster, such as a bombing, fire, flood, earthquake, power failure or any other event that may disable the firm or prevent access to our office(s).

**Disaster Recover Team:**

Primary Contact:	Susan Williams	Home: 406-5489697	Cell: 406-544-0014
Secondary Contact:	Darla Felix		Cell: 406-360-6326

Each individual of the disaster recovery team is cross trained to address SBDs as well as maintaining the firm's mission critical systems and our regulatory obligations.

**Responsibilities:**

Our CCO is responsible for approving the plan and for conducting the required annual review. He/she has the authority to execute this BCP. However, each employee is responsible for understanding his/her role during a disaster.

Our CCO is responsible for:

- documenting computer back-up procedures, i.e., frequency, procedure, person(s) responsible, etc.
- for designating back-up storage location(s) and persons responsible to maintain back-up data in separate locations.
- for identifying and listing key or mission critical people in the event of an emergency or disaster, obtaining their names, addresses, e-mail, fax, cell phone and other information and distributing this information to all personnel.
- for designating and arranging for "hot," "warm," or home site recovery location(s) for mission critical persons to meet to continue business, and for obtaining or arranging for adequate systems equipment for these locations.
- for establishing back-up telephone/communication system for clients, personnel and others to contact the firm and for the firm to contact clients.
- for determining and assessing back-up systems and/or recovery plans for key vendors and mission critical service providers.
- for conducting periodic and actual testing and training for mission critical and all personnel.

**Business Description:**

Our firm conducts business in equity, fixed income, UITs and mutual funds. We are an introducing firm and do not perform any type of clearing function for ourselves or others. Furthermore, we do not hold customer funds or securities. We accept and enter orders. All transactions are sent to our clearing firm, which executes our orders, compares them, allocates them, clears and settles them. Our clearing firm also maintains our customers' accounts, can grant customers access to them, and delivers funds and securities. Our firm services retail and institutional customers. We do not engage in any private placements. Our clearing firm is:

RBC Dain  
60 South 6th Street  
Minneapolis, MN 55402

Client Services Team: 1-612-607-8903

**Main Office Location:**

Our main office is located at 283 W. Front Street Suite 302, Missoula, MT 59802. Its main telephone number is 406-721-0999 or 800-823-8234.