



## **Business Continuity Plan Disclosure**

Nelson Securities, Inc. has developed a Business Continuity Plan (BCP) 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 BCP.

**Our BCP** – 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 BCP is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our BCP addresses: data back up 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 custodial firms back 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 2 hours. 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 up to 4 hours. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site [nelson-securities.com](http://nelson-securities.com) or our customer emergency number, (800) 345-7593 how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer’s prompt access to their funds and securities.

**For more information** – If you have questions about our BCP, you can contact us at (800) 345-7593 or [nelsonsecurities@nelsonsecurities.com](mailto:nelsonsecurities@nelsonsecurities.com).

**Contacting Us** – If after a significant business disruption you cannot contact us as you usually do at (800) 345-7593, you should call our alternative number (509) 838-1313 or go to our web site at [www.nelsonsecurities.com](http://www.nelsonsecurities.com). If you cannot access us through either of those means, you should contact the custodial firms, for instructions on how it may provide prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions.

### **Contracted Custodians and Contact Information**

Alliance Bernstein	(800) 962-2134	<a href="https://www.alliancebernstein.com">https://www.alliancebernstein.com</a>
American Equity	(800) 221-1234	<a href="https://www.american-equity.com">https://www.american-equity.com</a>
American Mutual Funds	(800) 421-4225	<a href="http://www.americanfunds.com">http://www.americanfunds.com</a>
AMG Funds	(800) 548-4539	<a href="https://www.amgfunds.com">https://www.amgfunds.com</a>
Brinker Capital	(800) 333-4573	<a href="http://www.brinkercapital.com/">http://www.brinkercapital.com/</a>
Columbia Management	(800) 345-6611	<a href="https://www.columbiathreadneedleus.com">https://www.columbiathreadneedleus.com</a>
Delaware (Sun Life/MFS)	(877) 253-2323	<a href="https://www.delawarelife.com">https://www.delawarelife.com</a>
Empower 401k (Mass Mutual)	(855) 756-4738	<a href="https://participant.empower-retirement.com/">https://participant.empower-retirement.com/</a>
Great-West Life & Annuity (Empower)	(877) 694-4015	<a href="https://plan.empower-retirement.com">https://plan.empower-retirement.com</a>
Hartford Mutual Funds	(800) 800-2000	<a href="https://www.hartfordfunds.com">https://www.hartfordfunds.com</a>
Invesco CollegeBound 529	(877) 615-4116	<a href="https://www.invesco.com/college-bound-529-plan/">https://www.invesco.com/college-bound-529-plan/</a>
Jackson National Life	(877) 565-2968	<a href="https://www.jackson.com">https://www.jackson.com</a>
John Hancock Life/Manulife	(800) 824-0335	<a href="https://www.johnhancock.com">https://www.johnhancock.com</a>
Lincoln Financial Group	(800) 942-5500	<a href="https://www.lfg.com">https://www.lfg.com</a>
Lord Abbett Mutual Funds	(888) 522-2388	<a href="https://www.lordabbett.com">https://www.lordabbett.com</a>
MFS Service Center, Inc	(800) MFS-TALK	<a href="https://www.mfs.com">https://www.mfs.com</a>

Nassau RE (Phoenix)	(800) 541-0171	<a href="https://nsre.com/">https://nsre.com/</a>
Nationwide Insurance	(800) 848-6331	<a href="https://www.nationwide.com">https://www.nationwide.com</a>
Pimco Mutual Funds	(888) 87-PIMCO	<a href="https://www.pimco.com">https://www.pimco.com</a>
SEI Private Trust Company	(610) 676-4489	<a href="http://www.seic.com/">http://www.seic.com/</a>
Talcott Resolution (Hartford Annuity)	(800) 862-6688	<a href="https://www.talcottresolution.com/">https://www.talcottresolution.com/</a>
TD Ameritrade Institutional	(800) 934-6124	<a href="http://www.tdainstitutional.com/">http://www.tdainstitutional.com/</a>
Virtus Mutual Funds	(800) 243-1574	<a href="https://www.virtus.com/">https://www.virtus.com/</a>