



Business Continuity Statement

Signature Securities Group Corporation (“SSG”) considers the protection of your financial assets to be of paramount importance and we thank you for your trust and continued confidence. We recognize that unexpected events, including natural disasters, power outages, and terrorism, can disrupt our normal business operations. Our goal is to provide you with uninterrupted service and continuous access to your account, even when faced with these potential disruptions to our business.

In order to achieve this goal, we have implemented and tested a comprehensive plan to safeguard your assets and to protect vital account information in the event of a temporary outage or a major disaster. The plan is designed to mitigate the effects of an unexpected event and to ensure our clients prompt access to their funds and securities. It addresses many possible scenarios, with varying degrees of severity, that could impact our business and we are prepared to relocate key personnel if a single location is unable to open or if an entire geographic area or city is affected. Furthermore, SSG has identified all mission-critical systems required to maintain continuity in the services we provide. We strive to restore normal business operations, including receipt and delivery of funds, trading, accounting, and general services as quickly as possible. Depending on the criticality of the system, our recovery times will range from immediate to 24 hours.

SSG has fifteen private client offices that are assigned a pre-determined back-up location. Of the fifteen locations, eight are located in Manhattan, three are on Long Island, two are in Westchester and there is one in Brooklyn and Staten Island. Our personnel can easily move from one location to another and they can access client information via our secured network at any location.

- In response to an event impacting a single location, personnel will be relocated to their designated back-up site and they will resume normal business operations.
- In response to an event impacting multiple locations, personnel will be relocated to their designated back-up site and they will resume normal business operations.
- In response to an event that impacts our main office, including executive management, operations, and compliance, all key personnel will be relocated to one of our designated back-up facilities and we will resume normal business operations within 24 hours.
- In response to an event that impacts our data center, mission critical systems will be restored at our back-up facility and we will resume normal business operations within 24 hours.

In addition, we have procedures to reroute critical phone numbers so you can maintain contact with us. In the event of an emergency, you can also reach our Client Services group at 1-866-sigline or 1-866-744-5463.

In addition to this Business Continuity Statement, please expect to receive a similar statement from National Financial Services, LLC (“NFS”). SSG has an agreement with NFS to provide execution, clearing, custody, and other related services to your brokerage account. Please refer to the NFS business continuity statement for further information related to your account.

Going forward, we will periodically review our business continuity plan to ensure its effectiveness and we will update it accordingly. We are committed to ensuring the safety of your assets and to maintaining an open line of communication with you at all times. We sincerely hope that this statement has addressed any concerns you may have with regard to our preparedness in the case of an emergency.

Please contact us at 1-866-sigline with any questions. We look forward to servicing you in the future.