

United Brokerage Services, Inc

Business Continuity

In the event of an emergency or disaster, the following information is being provided to ensure the disruption to client business will be minimized. Regardless of the scope of potential disruption, United Brokerage Services, Inc. intends to continue to provide services to our valued clients.

Regulators require each firm associated with the Securities Industry to create a business continuity plan. United Brokerage Services, Inc in unison with our clearing company First Clearing LLC (FCC) and other product providers have designed a reasonable plan for emergency scenarios.

In the event of a disaster or emergency to United Brokerage Services, Inc we will rely on our clearing firm for our routine activities including order entry, new account processing, security and check clearing. United Brokerage Services, Inc will address:

- Data back-up and recovery;
- Alternative methods of communication between United Brokerage Services, Inc and customers;
- Alternative methods of communication between United Brokerage Services, Inc and employees;
- Alternative methods of communication between United Brokerage Services, Inc and First Clearing LLC;
- Alternate physical locations for employees;
- Regulatory reporting and communication;
- Critical business constituent, bank, and counter-party impact;
- Financial and operational assessments;
- How United Brokerage will facilitate customer's access to their funds and securities.

United Brokerage Services, Inc is located in West Virginia, Virginia, Maryland, and DC. In anticipation of events causing business disruptions, United Brokerage Services, Inc has made arrangements to relocate to areas unaffected by the disaster or emergency, which may be a location in the city, in state, a neighboring state, or region. In the event that United Brokerage is not able to communicate with our clearing firm, contact information will be provided so that clients can directly communicate with First Clearing. These numbers are printed on the statement, on the web site, and are available through United Brokerage Services, Inc.

United Brokerage Services utilizes a FCC computer application. Processing transactions is not dependent of this application; only our ability to post the transaction is effected. Our usual method of contacting direct business companies is through mail, web site, email, phone, or fax.

At a minimum, the United Brokerage Services, Inc business continuity plan is reviewed, updated, and tested annually. When testing our plan, we review the recovery time and resumption time period for all mission critical systems.

Excellence in service to our clients is extremely important to us; we realize that our clients depend on us for quality service. If we may provide you additional copies or further information please contact us at your earliest convenience.