

Business Continuity Plan Summary Plan Disclosure

Overview

Plexus Financial Services, LLC (“PFS”) has created and implemented a Business Continuity Plan (“BCP”) in an effort to mitigate the effects related to unforeseen business interruptions. This BCP is designed to enable PFS to continue operations in the event of an emergency or significant business disruption (“SBD”).

Locations

PFS currently maintains three office locations which can be utilized as back-up locations in the event an SBD requires a location to be closed indefinitely. Additionally, all necessary books and records required to operate PFS on a daily/long term basis are electronic and can be accessed by employees anywhere an internet connection can be accessed. All PFS employees are issued laptop PC’s and have the ability to work from remote locations, including their homes, should an SBD require such.

- Deer Park, Illinois – Home Office (Office of Supervisory Jurisdiction)
- Oklahoma City, Oklahoma – Branch Office
- Dallas, Texas – Branch Office

Communications with Employees

In the event of an SBD, PFS will communicate with its employees by phone and/or email. PFS will employ a calling tree, which would be implemented by management in the event of an SBD. The BCP also addresses the relocation of staff to alternative remote back-up locations. Recovery time for the majority of systems/applications involved in PFS’s business operations and relocation to alternate locations is expected to range from immediate to 24 hours.

Communications with Customers

PFS currently communicates with its clients using the telephone, email, fax, US Mail, and/or in person. In the event of an SBD, PFS will assess which means of communication are still available and use the means closest in speed to the communication methods used in the past. Additionally, if all traditional means of communication are unavailable, PFS will post (if at all possible) emergency contact information and instructions on its web site (www.plexusfs.com) or its parent affiliate website (www.plexusgroupe.com) regarding access to PFS’s representatives.

Books & Records

While the majority of books and records required for continued business operations are maintained electronically (offsite), PFS maintains few hard-copy books and records at its Home Office. If any records are lost as the result of a business disruption or for any other reason, PFS has the means to physically recover data from electronic back-up locations administered by a third-party vendor. All electronic books and records are backed up real-time, mirrored, and periodically backed up to other remote locations.

Vendors and Counterparties

PFS’s BCP may need to rely upon the recovery and restoration of services provided by various critical business constituents, at both primary and alternate locations. PFS has considered the extent to which it may be able to depend upon these business relationships during an SBD as a part of the initial decision to do business with the various vendors. Where possible PFS has engaged and/or vetted alternate arrangements in order to avoid business disruptions in the case of a business constituent not being able to provide needed goods or services in an emergency.

Disclosure

The current BCP is designed to address the continued operation of PFS in the event of an emergency situation or SBD. However, all risks of business interruption cannot be eliminated and PFS cannot guarantee that systems will always be available or recoverable following an SBD. Furthermore, PFS has no control over and must rely upon the disaster recovery plans of its various critical business constituents and vendors. In the event that material changes are made to this BCP, PFS will post the updated summary on the parent affiliate web site.

The information contained in this disclosure is provided by PFS for informational purposes only, and nothing contained herein shall be construed to amend, supplement or otherwise modify any of the terms and conditions set forth in any customer agreement between you and PFS.