



## **BUSINESS CONTINUITY PLAN SUMMARY**

### **Business Continuity**

J.A. Glynne Investments, LLC maintains a business continuity plan outlining the actions we will take in the event of a building, city-wide or regional incident. The plan includes relocating strategic personnel to an alternate facility with the technological capability to enable us to establish normal communications, thus enabling resumption of the ability to conduct most phases of our business operations.

### **Customer Contact**

In the event of a building, city wide or regional incident J.A. Glynne intends to stay in business with varying recovery times for incidents to our building, business district or city. An incident of regional significance could result in delays of a longer period of time. Customers will be provided with emergency contact numbers for their sales professional if possible. Calls to our main office number (314)997-1277 will be forwarded to our recovery site. We post alternative means of communicating with us on our website: [www.jaglynn.com](http://www.jaglynn.com)

### **Customer Support**

In the event we experience a significant business interruption and you are unable to reach us, you may contact Pershing directly to process limited trade-related transactions, cash disbursements and security transfers. Instructions to Pershing must be in writing and transmitted via facsimile or postal service as follows:

Pershing, LLC  
P.O. Box 2065  
Jersey City, NJ 07303-2065  
Fax: (201) 413-5368

For additional information about how to request funds and securities when we cannot be contacted due to a significant business interruption, please refer to the information below or call (201) 413-3635 for recorded instructions. If you cannot access the instructions from the previously noted telephone number, Pershing may be contacted at (213) 624-6100 extension 500 as an alternate telephone number for recorded instructions.

The specific transactions Pershing will perform for clients of J.A. Glynne and the required accompanying information is as follows:

### **Trades**

Pershing will process the following closing security transactions:

- Sale of security position held long in the client's account
- Buy of a security to close-out a short security position

Pershing will process closing security transactions upon receipt of written instructions that must include the following information:

- Client Brokerage account number
- Client name (as registered on the brokerage account)
- Security description including symbol or CUSIP ® number
- Number of shares

**NOTE: All orders will be handled as market orders.**

### **Cash Disbursements**

Pershing will process cash disbursements upon written instructions that must include the following information:

- Client brokerage account number
- Client name (as registered on the brokerage account)
- Exact amount to be disbursed
- Indicate method of disbursement (as follows) and provide the information indicated:

a) Check (payable to account name only)

- Indicate name and address of record check is to be mailed to

b) Federal Funds

- Indicate receiving bank name, ABA number and receiving bank account number

NOTE: The receiving bank account name and brokerage account name must be identical unless we have a Letter of Authorization and file indicating alternate instructions.

### **Security Transfers**

Pershing will process security transfer requests upon written instructions that must include the following information:

- Client brokerage account number
- Client name (as registered on the brokerage account)
- Description of security(ies) to be transferred including symbols or CUSIP number(s)
- Quantity to be transferred
- Receiving account information for securities as follows:

a) Transfer to another brokerage account at Pershing

- Provide receiving account number at Pershing (name and address on both accounts must be the same)

b) Transfer to another financial organization

- Name of receiving financial organization
- DTC number (if the receiving financial organization is a registered broker-dealer)
- Account number at the receiving financial organization

Telephone numbers listed above are alternate numbers and are to be used only if you fail to reach us.