

CONTINUITY PLAN

Prospera Financial Services Business Continuity Plan Disclosure

At Prospera, we recognize how heavily our clients rely upon our systems and services. We also recognize that business disruptions of varying degrees can, and do occur. Disruptions could be due to anything from a minor loss of electricity to major events such as September 11, 2001. Prospera wants you to know that we have plans in place to safeguard your assets and protect vital account information in the event of such an occurrence.

Our Business Continuity Plan

Prospera's objective is 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.

Our business continuity plan addresses and is reviewed as necessary in regard to: 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 suppliers, contractors, bank and counter-part impact; regulatory reporting; and ensuring that our customers have access to their funds and securities.

Both First Clearing, LLC, and Prospera back up our important data to separate geographic locations. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, Prospera, along with our clearing firm, have objectives to restore operations and be able to restore business within a few hours. We also have pre-established, tested processes for re-routing of critical hotline numbers. In the event of a site outage, customers should experience minimal downtime in their ability to contact Prospera Financial Services.

Contacting Us

If, after a significant business disruption, you are unable to contact your Financial Professional as you usually do, you may call Prospera's corporate location at 972-581-3000 or go to our web site at www.prosperafinancial.com for instructions. If you are unable to reach us through any of these means, you should contact our clearing firm, First Clearing LLC at 877-496-3223. First Clearing will give you instructions on how to reach us, execute any necessary transactions, and answer any questions you have regarding your account(s).



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