



Dear Customer:

Triad Securities Corp. is a full service broker-dealer and member of FINRA. As a customer of Triad's, your assets are maintained with our clearing firm(s), Penson Worldwide, Inc. and/or Broadcort, a division of Merrill Lynch, Pierce, Fenner & Smith, Inc.

FINRA Rule 4370 requires each member firm to create and maintain a business continuity plan. In accordance with this rule, Triad has developed a plan to ensure that business continues to run uninterrupted during business emergencies.

The plan is designed to address key areas of concern including but not limited to the following:

- Books and records recovery;
- All mission critical systems;
- Financial and operational assessments;
- Alternate means of communication between Triad and its customers;
- Alternate means of communication between Triad and its employees;
- Alternate physical locations of employees;
- Critical business constituent, bank and counter-party impact;
- Regulatory reporting;
- Communications with regulators; and
- How Triad will ensure that customers have access to their funds and securities in the event Triad determines it is unable to continue its business.

Events creating a disruption of business may vary in nature. They could affect only Triad, affect the building where Triad is located, affect the entire business district where Triad is located, result in a citywide disruption, or result in a regional disruption. Triad fully intends to continue to conduct a securities business during these periods of business

disruption ranging from disruptions that only affect Triad to disruptions that have regional impact.

To address these disruptions Triad has arranged an alternate physical location as well as key technology infra-structure in an area that does not share any power grids with the current location and will afford Triad the opportunity to relocate its key employees and critical information technology systems in order to provide services for its clients.

If we are operating out of our alternate physical location we will arrange for our regular phone numbers to automatically forward to our alternate site. If after a significant business disruption you cannot contact us as you usually do at our normal phone numbers or through email or our website located at [www.com](http://www.com) you should contact the clearing firm(s) at which your assets are held, Penson: 214-765-1009 and/or Broadcort: 201-557-0700, who can assist you in providing access to your funds or securities and process other trade-related transactions for you.

Please be advised that business continuity plans are subject to change and modification. Triad intends to update and test its business continuity plans as business conditions and technology change. All changes will be posted to Triad's Website located at [www.com](http://www.com)

Should you have any questions concerning the business continuity plan please submit a written request for additional information to your broker or service representative.

Sincerely,

Triad Securities Corp.