



Business Continuity Plan

Geneos provides in writing the Business Continuity Plan disclosure statement to all clients at account opening as part of the new account application documents. Geneos also posts the disclosure statement on our web site. Our plan is subject to modifications at any time and updates will be posted to our website or customers may request an updated summary by written request to Geneos.

In the event of a business disruption, Geneos clients should always contact their Registered Representative first. All Geneos' Branch Managers have a copy of the full Business Continuity Plan and should be the first point of contact for clients with questions about their accounts.

Geneos has taken significant steps to mitigate business disruptions resulting from a variety of events. We have reviewed our activities to assess each process to determine what is critical and how we can continue to do business with minimal disruption.

Geneos takes step daily to back up all of our information. Additionally, we maintain offsite back-up facilities to storage all of our data in the event of business disruption in our home office.

While our plans attempt to deal with the potential impact of a variety of scenarios, any specific response will be highly dependent upon the nature and extent of the circumstances of the event. Our plan is subject to modifications at any time and updates will be posted to our website or customers may request an updated summary by written request to Geneos.

Scenario	Response	Recovery Time
Firm-only	Geneos will continue doing business. Employees will continue operations from their home locations via our VPN.	ASAP
Denver Tech-Center Outage	Geneos will continue doing business. Employees will continue operations from their home locations via our VPN.	ASAP
Regional Outage	Geneos will continue doing business through it branches. Branches will be contacted by whatever means is available to Geneos. The Representative/customers should contact Pershing and/or National Financial emergency numbers in order to continue doing business.	ASAP