



PRIVATE CLIENT SERVICES™

MEMBER FINRA, SIPC
A Registered Investment Advisor

2225 Lexington Road
Louisville, KY 40206
(502) 451-0600

Private Client Services, LLC' Business Continuity Plan is intended to ensure the safety of the company's associates and the resumption of critical operations and services in the event of an emergency such as fire; power or communication blackouts; natural or man-made disaster; foreign and domestic terrorism; and civil disturbance. The timeframe for resuming critical business operations may vary based on the nature and severity of the emergency.

Private Client Services, LLC recognizes the importance of maintaining viable emergency response, resumption, recovery and restoration strategies. It is the policy of Private Client Services, LLC, and all affiliated organizations, to maintain a viable Business Continuity Plan. In support of this policy, procedures are in place to:

- Relocate critical business operations to established recovery facilities.
- Reroute and activate customer service phone lines.
- Process all customer transactional requests.
- Quickly restore communications with business constituents, banks and regulatory agencies.
- Contact all home office associates and sales representatives.
- Quickly restore all critical company data and systems.

The Business Continuity Plan is reviewed annually by a member of senior management of Private Client Services, LLC.

Private Client Services, LLC exercises its Business Continuity Plan at least once per year, or at a greater frequency as determined by Senior Management. Results of each test, or exercise, are reviewed by Senior Management.

It is the policy of Private Client Services, LLC to continually improve and refine the Business Continuity Plan through the aggressive testing of business continuity procedures and processes, and by leveraging advances in technology. Therefore, the plan is subject to modification, at which time an updated summary will be promptly posted on our Web site. Alternatively, customers may obtain a summary by requesting a written copy by mail.