



PRIVATE CLIENT SERVICES™

MEMBER FINRA, SIPC
A Registered Investment Advisor
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Business Continuity Plan Disclosure

Private Client Services, LLC's business continuity planning is supported by an enterprise-wide program which is intended to ensure the safety of the company's associates and affiliated financial professionals, as well as the resumption of critical operations and services in the event of an emergency or business disruption caused by large scale events. Such events may include fire, interruption of public services or infrastructure, 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 and governs its Business Continuity Plan through a documented corporate policy reviewed and approved annually.

Business Continuity Plan Program Overview

As time is critical when confronted with an unplanned business disruption, and in compliance with securities industry regulations, reasonably designed 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.

Additionally, the Firm's primary external application providers periodically conduct testing of their own back-up capabilities to ensure that, in the event of an emergency or significant business disruption, they will be able to provide Private Client Services with the critical services necessary to continue business operations.

Private Client Services, LLC focuses on regular assessment of the Firm's readiness for business disruption and exercises its Business Continuity Plan at an appropriate frequency as determined by Senior Management with the results of each test or exercise reviewed by Senior Management. In keeping with regulatory requirements, the testing of the Business Continuity Plan is designed to address key areas of concern with the primary focus of providing uninterrupted services to financial professionals and clients.

Private Client Services is committed to the provision of timely service to our clients and the continuous improvement and refinement of the Business Continuity Plan through regular testing of internal processes and procedures, as well as by leveraging advancements in technology. As such, the Plan is subject to modification, at which time an updated summary will be promptly posted on our website. Alternatively, customers may obtain a summary by requesting a written copy by mail addresses to the Chief Administrative Officer, 2225 Lexington Road, Louisville, KY 40206.