

Business Continuity Plan
Grant Bettingen, Inc.

Grant Bettingen, Inc (GBI) is a broker-dealer and member of the *FINRA* and is not a self-clearing firm. Thus, GBI relies heavily on our two clearing firms Penson Financial Services “Penson” and Wedbush Morgan Securities “Wedbush” in the event of a significant business disruption.

FINRA Rule 3510 requires each member firm to create and maintain a business continuity plan. In accordance with this rule, GBI 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 GBI and its employees;
- Critical business constituent, bank, and counter-party impact;
- Regulatory reporting;
- Communications with regulators; and
- How GBI will ensure that customers have access to their funds and securities in the event GBI determines it is unable to continue its business.

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

To address disruptions affecting only GBI, the building where GBI is located or the business district where GBI conducts business, GBI has arranged an alternate location to supply a physical location as well as key technology infrastructure and will afford GBI the opportunity to relocate its key employees and critical information technology systems in order to provide services for its Registered Representatives and clients.

Please be advised that business continuity plans are subject to change and modification. GBI intends to update and test its business continuity plans as business conditions and technology change.

Should you need to contact one of clearing firms that GBI does business with, please follow one of the following website links:

Penson Financial Services, Inc.

<https://online.penson.com>

Wedbush Morgan Securities

<https://www.mysecuritiesaccount.com/inside/Pdfs/BCPCorrespondentDisclosure.pdf>

Should you have any questions concerning the business continuity plan please submit a written request for additional information to your Registered Representative.

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