



Business Continuity Plan Disclosure for Isaak Bond Investments

Isaak Bond Investments (IBI) is committed to providing the services and support systems necessary to conduct uninterrupted business under regular and irregular conditions. The Business Continuity Plan Disclosure (the "BCP") provides summary detail on IBI's risk mitigation strategy in the event of interruption(s) to daily business operations. The plan is designated to support all IBI obligations to clients and customers in the event of a major disruption. The BCP is intended to comply with obligations pursuant to regulatory rules and requirements as promulgated by the Financial Industry Regulatory Authority ("FINRA").

IBI has one main facility, with a designated back up meeting facility, within a city-wide area to support general business operations (sales, trading, accounting, operations, and information technology). IBI also has a California branch office that can be utilized. The main, back up, and branch locations allow IBI to maintain lines of business in the event that a single area is affected by disruptions. Since IBI is an introducing broker-dealer, all IBI customer funds and securities are held at, and all IBI trades are settled by our clearing firm, Hilltop Securities, Inc. (HTS). HTS is also critical in our BCP. Please refer to the attached Hilltop Securities Inc. Business Disruption Addendum for important information. Regardless of the scope of the disruption (firm-only, single building disruption, and area-wide disruption), IBI believes that our plan adequately identifies and mitigates our risk as it pertains to business continuity.

IBI maintains updated contact lists for all employees as well as specific lists as they relate to disaster recovery responsibilities. We can contact our employees through a number of methods, including broadcast communication via email, as well as direct communication to specific employees. Our senior managers will be contacted directly in the event of a significant business disruption.

IBI believes that business continuity planning is a year-round responsibility demanding participation from all parts of the business with the efforts lead by the operations group. A business recovery site will be identified and communicated within 60 miles of our daily operations center. In the event of an emergency, key personnel may be relocated to our back-up site. Laptops which contain mission critical software, printers, and back-up tapes of vital operational information are located offsite, and are immediately accessible in the event of a disruption. Some personal hardware, such as cell phones may be required.



Mission critical systems are backed up and kept remotely and can fail over to these back ups if necessary. Mission-Critical systems are defined by IBI and have real-time recovery that is either immediate or up to 12 hours at the off-site location. IBI owns the majority of recovery hardware and specific personal use hardware may be required dependent on the extent of disruption.

Our business continuity plan is intended to allow IBI to continue to meet existing obligations in the event of a disaster. We have evaluated numerous emergency situations and subsequent solutions and protocol to meet disparate circumstances. Regardless of all the effort put forth on this vital concern, we acknowledge that no disaster recovery plan is perfect, and cannot address all possible business disruption scenarios. The unpredictable nature of disasters precludes absolute preparedness for any plan. Certain situations may emerge that affect outside entities upon which we rely for some measure of service or collaboration. Though our plan has been reviewed, it is possible for circumstances to arise outside of what has been defined within plans. This BCP is subject to change without notice. Please go to www.isaakbond.com to find current modifications to this BCP disclosure or please contact your Registered Representative at (303) 623-7500 to obtain the current version of this disclosure by requesting a written copy of the disclosure by mail.

Please visit our clearing firm's website at www.hilltopsecurities.com and find "disclosures" at the bottom of the home page to locate the current version of HTS' BCP disclosure statement.