

## **National Planning Corporation® Disclosure of Business Continuity Plan**

FINRA Rule 4370 requires that firms disclose to their clients how their Business Continuity Plan addresses possible business disruption in various scenarios and its response to these scenarios.

National Planning Corporation® (NPC®) has identified critical tasks, including trading, deposits, withdrawals, market sensitive items, and also ensuring that customers have access to their cash and securities. NPC has a contingency plan in place for a worst-case scenario, including epidemics/pandemics, that could affect the Firm, building in which the Firm resides, city, or region. Types of disasters include, but are not limited to:

- Natural causes
  - Fires
  - Earthquakes
  - Floods
  - Tornadoes
  - Hurricanes
  - Epidemics/pandemics
- Technical causes
  - Hardware/software failures
  - Prolonged loss of utility service
- Human causes
  - Bombs
  - Riots
  - Strikes
  - Disgruntled employees

The contingency plan calls for the routing of phone calls, trades, faxes, and mail to an affiliated broker/dealer in a different region of the country. The intention is for business to be reinstated within a short period of time, allowing customers to access funds, place trades, make deposits, and inquire about their accounts. During the intervening time, NPC will establish an alternate site with mission critical systems, policies, procedures, and employees, in order to resume business from the affiliated broker/dealer within a reasonable time after the business disruption.

NPC's clearing firm, Pershing LLC, a BNY Mellon Company, will be notified of any business disruption involving NPC; in the event of a business disruption, Pershing's contact information will be posted on the NPC Website. If necessary, Pershing LLC will be available to customers for trading, deposits, withdrawals and inquiries.

Clients may keep up to date on any NPC business disruption by accessing NPC's website, [www.natplan.com](http://www.natplan.com). For more information on NPC's Business Continuity Plan disclosure, send your request to:

National Planning Corporation  
Attention: Compliance Department  
100 North Sepulveda Blvd., Suite 1800  
El Segundo, CA 90245

All plans are subject to modification.