

# WEDBUSH SECURITIES INC.

## **Business Continuity Plan**

Wedbush Securities Inc. (“Wedbush”) is committed to protecting the interests of correspondent broker-dealers and their clients in the event of a business disruption. The Business Continuity Plan summary below illustrates our efforts to reduce risks associated with business interruptions. We are confident in our preparedness and periodically test our plan to ensure premium responsiveness. Wedbush maintains and operates its own contingency facilities geographically located to diminish risks posed by local interruptions.

Wedbush has a long standing Business Continuity Plan that addresses all areas affected by a business interruption of any type; localized or widespread, short or long term. In the event of a disruption at a correspondent broker-dealer, direct viewing of customer accounts will continue to be available via ClientLink Internet services located at [www.mysecuritiesaccount.com](http://www.mysecuritiesaccount.com).

Should there be a disruption at our headquarters in Los Angeles, California, some daily functions may be temporarily disrupted. Each department has a business continuity plan, contact information, and relocation site to resume operations. The plan provides for critical functions to be recovered within the same day and all other functions recovered shortly thereafter. An operational disruption at the headquarters will not result in loss of information regarding your account, securities, or monies.

Account information and transaction history are stored in book-entry form at our data service providers. These facilities are remotely located from our headquarters in order to minimize the effect of any single disaster. They too have offsite redundancy of this information.

If you would like a copy of this Business Continuity Plan summary, you may contact your Investment Executive or go to [www.mysecuritiesaccount.com](http://www.mysecuritiesaccount.com). The plan is subject to change without notice. In the event that the Business Continuity Plan summary is modified, the updated document will be available at [www.mysecuritiesaccount.com](http://www.mysecuritiesaccount.com).