



AISG Business Continuity Plan Disclosure

American Independent Securities Group, LLC (A) is a fully disclosed broker-dealer and member of the Financial Industry National Regulatory Association., (“FINRA”) that maintains your account.

FINRA Rule 3510 requires each member firm to create and maintain a business continuity plan. In accordance with these rules AISG 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 AISG and its customers;
- Alternate means of communication between AISG and its employees;
- Alternate physical locations of employees;
- Critical business constituent, bank and counter-party impact;
- Regulatory reporting;
- Communications with regulators; and
- How AISG will ensure that all customers have access to their funds and securities in the event AISG determines it is unable to continue its business.

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

To address disruptions affecting AISG and the location(s) in which the firm conducts its business, arrangements have been made with organizations and facilities to supply a physical location as well as key technology infrastructure in an area that does not share power grids with the affected location, affording AISG the opportunity to relocate its key employees and critical information technology systems to provide services for its clients.

To address citywide and regional business disruptions, AISG has contracted with vendors to supply AISG alternate office space and access to critical technology in cities and regions that differ from the affected area. AISG intends to take advantage of this and employ the use of these facilities and affiliates which are located in other cities or regions of the country.

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

Should you have any questions concerning our business continuity plan, you may submit a written request for additional information to our Customer Service Department located at 1036 E. Iron Eagle Dr., Suite 105, Eagle ID 83616.