

## BUSINESS CONTINUITY

In accordance with regulation, First National Capital Markets is required to provide a summary of our business continuity plan. Specifically, First National Capital Markets categorizes potential business disruptions into the following categories:

- Those disruptions that would be isolated to First National Capital Markets, as a firm, (i.e. an electrical failure within First National Capital Markets, Inc.),
- Those disruptions that affect a building location where First National Capital Markets is located, (i.e. the office location at 1620 Dodge St. is closed due to terrorist threats or the building is otherwise deemed condemned by the city),
- Those disruptions that may affect areas in which our offices are located, (i.e. if a tornado hit downtown Omaha or a flood occurred),
- Those disruptions where the business of the entire city is affected, (i.e. a power outage for the entire city or a natural disaster that is city-wide in affect), and
- Those disruptions that affect at least a region of the country and disrupt business, (i.e. a terrorist attack similar to September 11, 2001).

In the event of any or all of these types of business disruptions, First National Capital Markets intends to continue business and plans to have alternative locations, as needed, operational within twenty-four (24) hours of the business disruption. Furthermore, First National Capital Markets intends to contact customers by telephone, e-mail, and facsimile to assist customers with their investment needs and to keep our customers informed about the operational status of the Firm. Additionally, notification shall be placed on our website, [www.fncapitalmarkets.com](http://www.fncapitalmarkets.com).

As stated above, First National Capital Markets has made arrangements to have back-up facilities available as needed that are intended to make available to the Firm all computer systems and programs necessary to continue the business of the Firm.

The business continuity plan of First National Capital Markets is subject to modification without prior notification but updated plans will be promptly posted on our website. Customers may request a written copy of the plan to be mail to their address of record. Lastly, please note: although the Firm does intend to continue operating as a viable business entity in the event of a business disruption, circumstances may change as the disruption occurs that may force the Firm to reconsider the alternative of liquidating the Firm and otherwise, not existing as an entity. If such circumstances do occur, the Firm will notify our customers as reasonably practicable.