



# Harvestons Securities, Inc.

8301 E. Prentice Ave., Suite 305, Greenwood Village, CO 80111  
303-832-8887

## **Business Continuity Plan**

Harvestons Securities, Inc. has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

**Contacting Us** – If after a significant business disruption you cannot contact us as you usually do 303-832-8887, you should call our alternative number 303-949-5566 or go to our web site at [www.harvestons.com](http://www.harvestons.com). If you cannot access us through either of those means, you should contact our clearing firm, National Financial Services, LLC. at 800-801-9942 for instructions on how it may provide prompt access to funds and securities, enter orders and process other trade related, cash, and security transfer transactions for our customers. For only limited number of customers whose accounts clear through Pershing, LLC, you may contact Pershing at 201-413-3635.

**Our Business Continuity Plan** – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm, Pershing, LLC and National Financial Services, LLC (NFS) - a subsidiary wholly owned by Fidelity Brokerage Company backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations or transfer operations to another facility, and be able to complete existing transactions and accept new transactions and payments with minimal impact. Your orders and requests for funds and securities could be delayed during this period.

**Varying Disruptions** – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within twenty-four hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within twenty-four hours. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site [www.harvestons.com](http://www.harvestons.com), or our customer emergency number, 303-949-5566 with instructions on how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.



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Harvestons Securities, Inc.'s Business Continuity Plan is designed to be prepared for significant business disruptions and to resume our business operations as quickly as possible if an event did occur. The information contained within is a summary of that plan. Because of the confidential nature of much of the plan, it is not possible to distribute the entire plan to client, customers or other external entities.

Recovery-time objectives provide concrete goals to plan for and test against. They are not, however, hard and fast deadlines that must be met in every emergency situation, and various external factors surrounding a disruption, such as time of day, scope of disruption, and status of critical infrastructure – particularly telecommunications – can affect actual recovery times.

The Business Continuity Plan Disclosure is subject to change without notice. We may modify this disclosure at any time with such modifications becoming effective upon posting to our web site. You may obtain a current copy of this disclosure by accessing our web site at [www.harvestons.com](http://www.harvestons.com). Alternately, you may obtain a hard copy of this disclosure by mail upon request.

**For more information** – If you have questions about our business continuity planning, you can contact us at 303-832-8887.