

**Gold Coast Securities, Inc.**  
**Business Continuity Plan Disclosure**

Gold Coast 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.

A significant disruption of business could result from various causes and can vary in their scope, severity, and duration. Some of these causes include natural causes such as hurricanes and earthquakes, man-made causes such as strikes and riots, and technical causes such as systems and utility failures. 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, taking into consideration 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.

In the event of disruption of business affecting a main office of the firm, the business continuity plan calls for the routing of phone calls, trades, faxes, and mail to another office of the firm in a different region, or to our clearing firm, Pershing LLC, for certain functions. Business is intended to be reinstated within a short period of time, allowing customers to access funds, place trades, make deposits, and inquire about their account(s). In the event of a business disruption affecting a branch office of the firm on a localized basis, the business continuity plan calls for transferring the functions of that branch office to a main office of the firm. 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.gcsec.com](http://www.gcsec.com)) with information on how to contact us. If the 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.

Please note that our business continuity plan is subject to change and modification. You may obtain updated summaries of the plan by contacting us at the telephone number or address listed below. Should you have any questions, please contact your Investment Professional or our Operations Department at (866) 894-2978.

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