

At USI Securities, we and our registered representatives value the trust you have placed with us to handle your financial needs. Based on that trust, we have responsibility to ensure we can provide you with our services when external factors can affect the operating environment. In recognition of this responsibility, we have examined our operations to ensure we can continue to operate in the event of a “Significant Business Disruption” (“SBD”).

A SBD can take many forms and affect many locations. They can affect an office, a city block or a region. They can be caused by fires, storms, water leaks or other events. In any case, it is the firm’s goal to resume operations as quickly as possible, while maintaining the safety of our personnel.

Our plan addresses 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.

Our Business Continuity Plan – 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 in the event of a significant business disruption.

To address SBDs that would impact our main office in Glastonbury, CT, we have created plans that allow us to continue to conduct securities business during a period of outage for the Glastonbury location. Utilizing resources of our parent corporation, we have arranged for space and facilities that do not share power grids with the Glastonbury location. The plan affords us an opportunity to relocate key employees, setup essential telecommunication services, reactivate critical systems, and return to business as usual in less than 48 hours. We could operate normally from this site for a day or indefinitely. Arrangements would be made to redirect telephone calls and mail from the Glastonbury location.

In the event of a SBD affecting a branch location (sales office), alternative locations would be used for essential branch personnel. Some employees would be relocated to a branch location within the general vicinity, other employees may be relocated to the branch location outside the general vicinity, and some employees would be capable of working from their home. Arrangements would be made to redirect telephone calls and mail. These relocation plans could be initiated at any time and we believe the relocation could be completed in less than 48 hours. If, after a significant business disruption, you cannot contact your Registered Representative – you may call our headquarters at (866) 305-8839 or (860) 652-3239 for assistance.

Contacting USI Securities – In addition, depending upon the nature, location, and scope of the disruption, the firm may also post information on the website of our affiliate company (USI Consulting Group) at www.usicg.com.

Accessing Your Funds or Securities – Should a catastrophic event occur and USI Securities is unable to operate, customers would be directed to contact the financial institution holding their assets for assistance in processing transactions. Those clients whose investments are held directly with a mutual fund and/or variable product company (i.e., not in an NFS brokerage account) may contact the applicable product sponsor(s) to process transactions. Clients should refer to their latest periodic statement from the product sponsor for specific contact information. For those clients that have brokerage accounts, NFS can be reached at (800) 801-9942 or through their website at <https://investor.wealthscape.com>.

Please be aware that our Business Continuity Plan is subject to change and modification over time. A copy of our most current Business Continuity Plan Disclosure Statement can be obtained by visiting the website of our affiliate company at www.usicg.com/usisecurities/usisecurities.asp contacting us at the telephone number listed below, or writing us at the address identified below.

For more information – If you have questions about our business continuity planning, please contact the USI Securities Compliance Department at (866) 305-8839 or (860) 652-3239.

USI Securities, Inc.
95 Glastonbury Blvd., Suite 102
Glastonbury, CT 06033