

Business Continuity Plan

Saxony Securities, Inc. (“Saxony”) has a Business Continuity Plan (“BCP”) in place to prepare for the possibility of a future significant business disruption (“SBD”). An SBD may range in severity from a firm only disruption, such as a fire or a power outage, to a regional disruption, such as a natural disaster or a terrorist attack.

In the event of a firm only disruption, Saxony has a functional offsite facility locally providing an alternative location from which we can reasonably operate under such an SBD. This facility contains duplicate equipment and telecommunications services, and space for staff to perform critical business functions. Saxony expects to be able to resume business within four (4) hours of this type of event. Clients would continue to be able to contact us by phone at (314) 963-9336.

If a larger scale disruption occurs, such as a city-wide or regional disruption, Saxony will re-establish operations at another site such as one of our branch offices. Saxony’s recovery time frame will depend on the severity and significance of the event.

Saxony maintains a relationship with its clearing firm, Pershing LLC. We fully introduce your accounts to this firm as they maintain your assets and settle your transactions on your behalf. In the event that you are unable to contact Saxony due to an SBD, Pershing may be contacted directly to process limited trade-related transactions, cash disbursements, and security transfers. Instructions to Pershing must be in writing and transmitted via facsimile or postal service as follows:

Pershing LLC
P.O. Box 2065
Jersey City, NJ 07303-2065
Fax (201) 413-5368

Pershing has provided the following alternate phone number (201) 413-3635, where it can be reached in the event that Pershing needs to execute its business continuity strategy.

Saxony’s BCP is subject to modification. This plan and any updates will be promptly posted to our website at www.saxonysecurities.com. Customers may alternatively obtain updated summaries by requesting a written copy by mail to the following address:

Saxony Securities, Inc.
Attn: Compliance – Business Continuity Request
11152 South Towne Branch
St. Louis, MO 63123