

MAIN STREET SECURITIES

Business Continuity Plan

Main Street Securities, LLC 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

In the event of a significant business disruption affecting the home office of Main Street Securities, LLC, your primary contact should be your registered representative. The majority of the branch offices registered with Main Street Securities, LLC are located outside of the area of the home office in Hays, KS. Most likely your local branch office would be unaffected by an event that would cause a disruption at our home office, and they would be able to continue to operate independently and transact business for you normally. In the event your registered representative is not available you should contact our home office at 1-800-752-2439. If you are unable to contact the home office by phone then you should visit our website at www.mainstreetsecurities.com. If you are unable to contact your registered representative or us, then you should contact our clearing firm RBC Dain Correspondent Services at 612-607-8903 or at their website, www.RBCDainCS.com for instructions on how they may assist you by providing prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions. If your accounts are held directly with a fund company or insurance company you should contact the company directly.

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, RBC Dain Correspondent Services, 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, our clearing firm has advised us that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within the same business day. 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, a business district, city, or a whole region. Within each of these areas, the severity of the disruption can also vary from minimal to sever. 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 as quickly as possible. 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 as quickly as possible. In either situation, we plan to continue in business, and notify you through our web site, www.mainstreetsecurities.com, how to contact us. If the significant business disruption is so sever that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

For More Information

If you have questions about our business continuity planning, you can contact us at 1-800-752-2439 and ask for the compliance department.