

## **BUSINESS CONTINUITY PLAN**

### **Vanguard Capitals Business Continuity Disclosure Summary Statement**

Vanguard Capital is providing you with this document to inform you of our ability to respond to certain business disruptions at your Investor Representative's office or at the main office of Vanguard Capital. **Our policy is to respond to a significant business disruption by safeguarding all firm books and records and allowing our clients to transact business without disruption.**

Vanguard Capital maintains a **Business Continuity Plan** and intends to continue operations in the event of a **significant business disruption**. Vanguard Capital anticipates **two kinds of significant business disruptions**. **For Internal disruptions** at either the local or main office, Vanguard Capital may route calls to an office location in a separate geographic location and if necessary transfer operations to a facility maintained by a third party vendor. **For External disruptions** such as a terrorist attack, a national weather disaster or a regional communication disruption, Vanguard Capital, other Broker Dealers and the Securities Markets in general may be prevented from operating. Vanguard Capital is a fully disclosed broker dealer and does not maintain custody of customer's funds or securities. In response to an external business disruption, Vanguard will rely heavily upon its correspondent-clearing firm, Pershing LLC. In the event of either internal or external business disruptions, Vanguard Capital will immediately identify what means will permit us to communicate with our clients. Some events may render Vanguard Capital or our Investor Representatives unable to continue to operate. Under such circumstances, Vanguard Capital will insure that clients will be able to access their funds and securities within a reasonable time.

**To provide clients with up to date information during a significant business disruption**, whether affecting our Investor Representative's local office or the main office of Vanguard Capital, **clients may call Vanguard Capital at (858) 455-5070** or visit our website at [www.vanguardcapital.com](http://www.vanguardcapital.com). Vanguard will post updated disclosure statements on its website. You may also request from your Investor Representative that the firm mail you a copy of the updated disclosure statement. If you cannot access Vanguard Capital through either of the above means, you should contact Pershing LLC via their website [http://www.pershing.com/customer\\_support.htm](http://www.pershing.com/customer_support.htm) or via telephone at 201-413-3635 for instructions on how to access to your funds and securities as well as accepting buy and sell orders for your account. If you hold investments at a mutual fund or insurance company, you should contact the company directly for access to your account.