



# KUHNS BROTHERS SECURITIES CORPORATION

## *Kuhns Brothers Securities Corporation's Business Continuity Planning as of April 15, 2013*

Kuhns Brothers Securities Corporation has developed a Business Continuity Plan with respect to 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.

**Contacting Us:** If after a significant business disruption you cannot contact us as you usually do by calling us at (860) 435-7000 or e-mailing our compliance officer at [tnorth@kuhnsbrothers.com](mailto:tnorth@kuhnsbrothers.com), you should call our alternative number (203) 300-9605 or visit our website at [www.kuhnsbrothers.com](http://www.kuhnsbrothers.com). If you cannot access us through either of those means, you should contact our clearing firm, First Southwest Company, at (241) 953-8797 or toll free at (800) 678-3792 or on the internet at [www.firstsw.com](http://www.firstsw.com) for instructions on how they may assist you in the event of a significant business disruption to provide prompt access to funds and securities, enter orders, or process other trade-related, cash and security transfer transactions for your customers.

**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, subject to the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup 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, First Southwest Company, 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 severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within one 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 events affecting only our firm, a single building housing a portion of our firm, the business district where our firm is located, the city where we are located or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing a portion of our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within twenty-four hours. 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 within twenty-four hours. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our website [www.kuhnsbrothers.com](http://www.kuhnsbrothers.com) or our customer emergency number, (203) 300-9605 as to how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers of prompt access to their funds and securities.

**For more information:** If you have questions, please telephone us at (860) 435-7000 or in writing at 558 Lime Rock Road, Lakeville, Connecticut 06039 or at [tnorth@kuhnsbrothers.com](mailto:tnorth@kuhnsbrothers.com).