



1st GLOBAL

Business Continuity Statement

1st Global and our affiliates recognize the importance of safeguarding our clients' assets and protecting our clients' account information in the event of a significant disruption of our normal business operations due to natural and man-made disasters. 1st Global has developed plans designed to enable the firm to recover from both internal and external disruptions of varying lengths and scope. 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.

It is the policy of 1st Global to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, and allowing our customers to transact business.

1st Global has developed business continuity plans that include the ability to recover from situations that are contained to our primary location, a single building housing 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. 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.

In a disruption to our firm or a building housing our firm, we will transfer our operations to an alternate location if necessary and expect to resume critical functions of order taking, order entry, account maintenance, and providing access to funds and securities within four hours with other service-related functions being operational within one business day. In an SBD affecting our business district or entire city, we will transfer our operations to a geographically separate location that is not within the district or city and expect to resume operations within 10 to 20 days. In any of the above situations, we plan to continue our business, transfer our critical functions to our clearing firm for brokerage business or direct customers to contact the product sponsor directly for retail direct and insurance business if necessary. If the SBD is so severe that it prevents us from remaining in business, we will assure our customers' prompt access to their funds and securities.

1st Global does not maintain custody of client funds or securities and therefore relies on our critical business constituents, such as our clearing firm, National Financial Services LLC, for processing client transactions, maintaining client accounts, and providing prompt access to clients' funds and securities. In the event of a significant business disruption, 1st Global would contact our clearing firm and other business constituents and vendors immediately to establish alternate arrangements for critical business functions.

1st Global has contingencies in place for data recovery in the event of a significant business disruption, including back-up facilities in a separate location that house duplicate data on separate servers.

Key components of 1st Global Capital Corp.'s business continuity plan include the following:

- Back up and recovery of hard copy and electronic data
- Identification of all mission critical systems
- Alternate communications between 1st Global and our clients, employees and regulators
- Preparedness of alternate physical location of employees
- Identification of all critical vendors and counter-parties
- Financial and operational assessments
- Regulatory reporting

Assurance of prompt access to clients' funds and securities

1st Global considers contingency planning to be a continuing process requiring ongoing review and periodic testing to ensure its effectiveness. The firm's plan is subject to modification and may be periodically updated. A copy of the firm's complete Business Continuity Plan may be found on our website at [/www.1stGlobal.com](http://www.1stGlobal.com), or may be obtained by requesting a written copy of the plan by mail.

This Business Continuity Statement applies to 1st Global Capital Corp., member FINRA/SIPC, and all of its affiliated companies including: 1st Global Advisors, Inc., 1st Global Retirement Services, Inc., 1st Global Insurance Services, Inc., and other 1st Global insurance agencies as established to meet state requirements.