

## BUSINESS CONTINUITY PLAN DISCLOSURE STATEMENT

Capital One Securities, Inc. (“COSec”) maintains a business continuity plan in order to conduct business under irregular conditions. This plan is reviewed annually and updated as necessary. The plan outlines the actions that COSec will take in the event of a building, citywide, or regional incident, including relocating technology and operational personnel to pre-assigned alternate facilities. It is the intent of the firm to continue business with minimal interruption, depending on the intensity of the disruption. The plan is intended to comply with the obligations pursuant to regulatory rules and requirements as promulgated by FINRA.

COSec maintains updated contact lists for all employees as well as specific lists as they relate to disaster recovery responsibilities. We can contact our employees through a number of methods, including telephone, fax and email.

COSec has a regional location where key personnel may relocate in order to maintain continuity of business in the event of a business interruption at the main office location. In the event that COSec experiences a significant business interruption the firm’s clearing firm, Pershing, LLC, may be contacted directly to process limited trade-related transactions, cash disbursements, and securities 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, New Jersey 07303-2065  
Fax: (201) 413-5368

For additional information about how to request funds and securities when COSec cannot be contacted due to a significant business interruption, please visit the About Pershing section of the Pershing website at [www.pershing.com/about.htm](http://www.pershing.com/about.htm) or call (201) 413-3635 for recorded instructions. If you cannot access the instructions from the website or previously noted telephone number, Pershing may be contacted at (213) 624-6100 extension 500 as an alternate telephone number for recorded instructions. Please note that the telephone numbers listed above are alternate numbers and are to be used only if you fail to reach COSec.

Our business continuity plan is intended to allow COSec to continue to meet all existing obligations in the event of a disaster. The unpredictable nature of a disaster precludes absolute preparedness for any plan. Certain situations may arise that affect outside entities upon which we rely for some measure of service. Though the plan undergoes testing an is reviewed at least annually, it is possible for circumstances to arise outside of what had been defined within test plans. The plan is subject to change without notice. The information provided in this disclosure is for informational purposes only. If you have questions about our business continuity planning, you can contact us at (504) 528-9174 or (800) 666-9174.

Information about SIPC, including the SIPC brochure, can be obtained through the SIPC website address [www.sipc.org](http://www.sipc.org) and telephone number 202-371-8300.