

Update: January 2014

BENJAMIN SECURITIES INVESTMENT COMPANY, INC.'S BUSINESS CONTINUITY PLANNING

Benjamin Securities 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 – If after a significant business disruption you cannot contact us as you usually do at 281-403-0009 or bsmith9381@comcast.net, In emergency situations, please contact us via cell phone at 281-889-8243. For major disruptions like hurricanes or earthquakes, you may also contact our office in the location that has not been affected. Here's a listing of offices and contact information.

Our Location #1 Office is located at: 3603 Ridgeview Drive, Missouri City, TX 77459. Its main telephone number is: 281-403-0009. An alternate telephone number is: 281-499-2762. Our cell phone number is 281-889-8243 and our fax number is 281-499-3035. Our web address is: www.benjaminadvisors.com.

Our Location #2 Office is located at: 210 33rd Avenue, Santa Cruz, California 95062. Its main telephone number is: 831-475-1766. The cell phone number is: 408-307-9504.

Our Location #3 Office is located at: 1446 Manhattan Beach Blvd, Apt B. The telephone number is: 310-344-1492. This office can be reached by automobile.

An alternate physical location for Office #1 is: 16115 Kelley Green Court, Cypress, TX 77429. The telephone number is: 281-639-6544. This location can be reached by automobile.

An alternate physical location for Office #2 is: 7770 Soda Springs Road, Soda Springs, California 95728. The telephone number is 530-426-0252.

For further instructions on emergency procedures, refer to our website at www.benjaminadvisors.com

If you cannot access us through either of those means, you should contact our clearing firm, Southwest Securities (clearing firm # 0279), at www.swst.com for instructions on how it may provide prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions for your customers. SWST has set up operational procedures to assist the clients of Broker/Dealers for which we clear. [Click here](#) to access more information. See [SWST business continuity plan](#) for more details.

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, Southwest Securities, 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, 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 4 hours for most scenarios. An exception is like 9/11 which caused the complete shutdown of the securities trading, clearance/settlement or other banking services nationwide. 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 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. 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 within 4 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 4 hours. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site www.benjaminadvisors.com or our customer emergency number on our mobile service at 408-307-9504 how to contact us. If the significant business disruption is so severe 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 phone 408-307-9504 or email at jeriann@benjaminadvisors.com.