

## **Alliance Financial Group, Inc.**

### **Business Continuity Planning**

Securities industry regulations require each member firm to create and maintain a Business Continuity Plan reasonably designed to meet its obligations to its clients or other counter-parties. In accordance with these requirements, Alliance Financial Group, Inc. has developed a Business Continuity Plan that describes 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 the following information regarding our business continuity plan.

**Contacting Us** – If after a significant business disruption you cannot contact us as you usually do at 214-750-4400, then call our toll free number 866-885-0898 or go to our website at [www.alliancefgi.com](http://www.alliancefgi.com). If you cannot access us through either of those means, you should contact the clearing firm where your account is held, Southwest Securities at 866-797-5227 or First Clearing, LLC at 877-496-3223, for guidance on how they may assist you. You can also access their websites at the following links; Southwest Securities, [www.swst.com](http://www.swst.com) and First Clearing, LLC, [www.firstclearingllc.com](http://www.firstclearingllc.com).

**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 firms back 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 firms that their objective is to restore their own operations and be able to complete existing transactions and accept new transactions and payments as soon as possible. Your orders and requests for funds and securities could be delayed during this period. Southwest Securities’ and First Clearing’s business continuity plans can be found on their respective websites.

**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 and expect to recover and resume business as soon as physically possible. In a disruption affecting our business district, city, or region, we will transfer our order liquidations and check requests operations to our clearing firms and notify you through our website [www.alliancefgi.com](http://www.alliancefgi.com) on 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 214-750-4400 or firm’s website, [www.alliancefgi.com](http://www.alliancefgi.com).