Concorde

Business Continuity Plan

FACTS	BUSINESS CONTINUITY PLANNING – WHAT STEPS DOES CONCORDE TAKE IN THE EVENT OF A BUSINESS DISRUPTION?
WHY?	Concorde Investment Services, LLC, and its affiliates ("Concorde" or the "firm") have developed a Business Continuity Plan on how we will respond to events that could 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.
WHAT?	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 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 process business. Our clearing firms, Pershing and RBC, maintain their own business continuity arrangements. We will coordinate with our clearing firms, custodians and other service providers to assess available services during a disruption. Recovery times depend on the nature and severity of the event, telecommunications, power and provider availability. Recovery objectives are planning goals, not guaranteed deadlines. Orders and requests for funds or securities may be delayed while affected services are restored. Significant business disruptions may affect our Boca Raton headquarters, an individual branch, a city or an entire region. If headquarters is unavailable, we plan to continue critical operations using approved remote staff and systems. For a regional disruption, we will use approved locations and available personnel outside the affected area. We will assess secure connectivity, power, approved access and staffing before affected functions resume. We aim to restore operations as quickly as conditions permit. In either situation, we plan to continue business and communicate available alternatives through our investment representatives, telephone, email or www.concordeis.com, as available. If we cannot conduct business, customers may contact their clearing firm, custodian or product company directly for access to funds and securities.

CONTACT US

If you cannot contact your Concorde representative after a significant business disruption, call our Home Office at (561) 934-9134 or our alternative contact, Terry Delongchamp, at (734) 717-9621. We will use available telephone, email and website communications to provide updates. When available, alternative contact information will be posted at www.concordeis.com. Telephone and internet availability may be affected by the disruption.

If you cannot access us through any of those means, you should contact the clearing firm responsible for carrying your account. Our clearing firms' addresses, and telephone numbers are:

Pershing, LLC Services
Attn: Customer Support
P.O. Box 2065
Jersey City, NJ 07303
(201) 413-3635

RBC Correspondent
(a division of RBC Capital Markets, LLC)
Attn: Customer Support
60 South 6th Street
Minneapolis, MN 55402
1-800-759-4029

Our custodian address and telephone number is:

Charles Schwab & Co., Inc.
Attn: Customer Support
958 Summit Park Drive #500
Orlando, FL 32810
(877) 519-1403

Please note that our custodians' activities on your behalf will be limited to liquidating orders, cash disbursements from check and wire requests, and security (ACAT) transfers. Pershing requires these requests in writing and transmitted via facsimile to: (201) 413-5368 or through the postal service and mailed to:

Pershing, LLC
P.O. Box 2065
Jersey City, NJ
07303-2065

FOR MORE INFORMATION

If you have questions about our business continuity planning, you may contact us at:

Concorde Investment Services, LLC
301 Yamato Road
Suite 2222
Boca Raton, FL 33431
(561) 934-9134
Attn: Chief Compliance Officer