



BUSINESS CONTINUITY PLAN

Valdes & Moreno, Inc. has developed a **Business Continuity Plan** on how we will respond to events that significantly disrupt our ability to do 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 through usual methods, by phone at (816) 221-6700 or email:

marco@valdesmoreno.com , brian@valdesmoreno.com

tom@valdesmoreno.com , kelly@valdesmoreno.com

by stopping by our main office, 6300 N. Revere Drive, Suite 110 Kansas City, Mo 64151, then you should call or text our cell phones:

Marco Listrom (816) 853-7860

Brian Cookson (816) 769-0167

Tom V. Anderson (412) 417-7838

Kelly Jones (816) 645-3172

The professionals in our office will be able to help you with most issues.

In the alternative, please contact our clearing firm:

Hilltop Securities
1201 Elm Street, Suite 3500
Dallas, TX 75270

Toll free 800-678-3792 or Terry.Kitchens@hilltopsecurities.com

Folks there may assist you in placing orders or providing prompt access to your funds and securities.

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Valdés & Moreno plans 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 the following: 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 continue our business.

Hilltop Securities backs up most of our important records in a geographically separate location. While every emergency situation poses unique problems based on external factors, such as time of day and severity of the disruption, Hilltop has advised us that their company's objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within one business day. Your orders and requests for funds and securities could possibly be delayed during this period.

If you have any questions or would like additional information regarding our firm or our Business Continuity Plan, please contact Kelly Jones at (816) 221-6700 or kelly@valdesmoreno.com.

July 20, 2017