

# VALDÉS & MORENO, INC.

## BUSINESS CONTINUITY PLAN

**Valdés & 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 via usual methods such as:

Phone: (816) 221-6700

Fax: (816) 221-1310

Email: [marco@valdesmoreno.com](mailto:marco@valdesmoreno.com), [brian@valdesmoreno.com](mailto:brian@valdesmoreno.com), [kelly@valdesmoreno.com](mailto:kelly@valdesmoreno.com).

Then,

Stop by: 6300 N. Revere Drive, Suite 110, Kansas City, MO 64151

Call or text: Marco at (816) 853-7860, Brian at (816) 769-0167, or Kelly at (816) 645-3172.

If contacting us by phone, fax, email, cell phone, or stopping by is not possible, you should contact our clearing firm, **Hilltop Securities, Inc.** (Hilltop), at (214) 953-4000 or (800) 678-3792 for instructions on how the folks there may assist you in placing orders or provide you prompt access to your funds and/or securities. If needed, Hilltop's mailing address is 1201 Elm Street, Suite 3500, Dallas, TX 75270. For more information, you may go to their website at [www.hilltopsecurities.com](http://www.hilltopsecurities.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 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/or securities if we are unable to continue our business.

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Hilltop Securities, Inc. backs up our most important customer records in geographically separate locations and maintains its own Business Continuity Plan. 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 its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within five business days. Your orders and requests for funds and/or 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 two business days. 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 five business days. In either situation, we plan to continue in business, transfer operations to Hilltop Securities, Inc., if necessary, and notify you via the emergency cell phone numbers aforementioned or post to our website or regular mail on how best to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers' prompt access to their funds and/or securities through Hilltop.

**For More Information**

If you have questions about our business continuity plan, please contact us at (816) 221-6700 or [kelly@valdesmoerno.com](mailto:kelly@valdesmoerno.com).

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