

## Business Continuity Statement

---

As a broker-dealer and Registered Investment Adviser, GLP Investment Services (“GIS”) is an introducing Broker/Dealer which conducts its business via selling agreements with product sponsors. In connection with these services, GIS is required to communicate its position on business continuity practices.

GIS is committed to insuring continuation of all essential functions through an effective and comprehensive program of business continuity planning in the event that we experience a disaster or serious emergency. GIS considers business continuity planning to be an iterative process, requiring ongoing review to assess risks and appropriate responses. As a result, this plan may change, as necessary. Please feel free to contact GIS at any time to receive the most recent version of our Business Continuity Statement.

**GIS’ Business Continuity Planning Guidelines** - GIS has developed plans that include the ability to mitigate and/or recover from situations including, but not limited to power outages, major water leaks, fire, loss of water, severe weather, and any facilities failures that may cause business interruptions. Plans are designed to account for business interruptions of various lengths and scope and require that GIS be able to recover critical functions according to their time criticality. Key features of GIS’s disaster recovery planning include annual reviews of the following:

- Identification of all mission critical systems.
- A review of financial and operational risks.
- Alternate communications between GIS and its vendor partners.
- Employee safety strategies and communications.
- Systems and telecommunications accessibility.
- Alternate physical site location and preparedness.

**GIS Contingency Planning and Business Recovery** - GIS mitigates risks to reduce potential issues and impact. In addition to following the guidelines stated above, GIS’s recovery plans also include the following:

**Employee Safety** - GIS places an emphasis on employee safety. We conduct evacuation drills which are led our BCP Officer.

**Separate Sites** - GIS has its headquarters in Farmington, MI and additional offices for certain operations and sales functions. These separate sites provide business continuity for certain critical functions.

**Emergency Communication** - There are pre-established processes for rerouting of critical hotline numbers. In the event of a site outage, customers should experience minimal downtime in their ability to access information via the GIS website and customer service telephone numbers.

**Alternate Site Tests** - GIS conducts disaster recovery tests for its critical functions at least annually. Tests include verification of critical applications and infrastructure. Notification to Clients -In the event of an outage, GIS will reroute client communications to an offsite location(s) and post outage status information on our website. Notification will include information regarding length of outage, instructions for contacting GIS, and support information (e.g., where to send faxes, issues pertaining to data transmissions and communications).

**Regulatory Reporting** – GIS’s business continuity plans are designed to ensure that, regardless of the length of an outage at a primary location, GIS’s ability to continue to meet regulatory requirements, as mandated by the Securities and Exchange Commission, and FINRA, would not be impacted.

**Communications with Regulators** – GIS will communicate with its regulatory authorities regarding the nature and extent of any significant outage at a primary location, as required by applicable law and regulation.

**Access to Your Funds** - A site outage at GIS would not impact your ability to have access to your available funds, as GIS’s business continuity plans are designed to ensure sustained service. However, your ability to your available funds may be impacted by market events outside of GIS’s control, such as when the market was closed following the September 11 tragedy. Since GIS does not Custody your funds or assets, you will have access through the product sponsor.