

## **Client Disclosure Regarding U.S. Capital Advisors LLC's Business Continuity Plan**

U.S. Capital Advisors LLC, on behalf of itself and its subsidiaries, USCA Securities LLC, USCA RIA LLC, USCA Asset Management LLC and USCA Municipal Advisors LLC (collectively "USCA" or "the Firm") has developed a Business Continuity Plan addressing how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will 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** – After a significant business disruption you may obtain information by contacting your Financial Advisor or the main office using the direct phone numbers provided by your Financial Advisor, or by contacting the main number toll free at (888) 601-8722 or dial direct at (713) 366-0500, or the Austin office at (512) 813-1100, or the Dallas office at (972) 3384201, or by going to the Firm's website at [www.uscallc.com](http://www.uscallc.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 clients to transact business. Our business continuity plan is designed to permit the 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 clients, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our clients prompt access to their funds and securities if we are unable to continue our business. Our clearing firm, National Financial Services LLC, backs up important client records in a geographically separate area. We have been advised by our clearing firm that in the event of a significant business disruption affecting the clearing firm, its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within the same business day. However orders and requests for funds and securities could be delayed during this period.

**Varying Disruptions** – Significant business disruptions can vary in their scope and severity. In a disruption to only the Firm or a building housing the Firm, we will transfer our operations to a local site when needed and expect to recover and fully resume business within one to two business days or less. 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 one to two business days or less. In either situation, we plan to continue in business and notify you through our website [www.uscallc.com](http://www.uscallc.com) on how to contact us and obtain necessary services. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our clients access to their funds and securities via our clearing firm, NFS Customer Service at (800) 801-9942.

**For more information** – If you have questions about our business continuity planning, you can contact us at (713) 366-0500 or toll free at (888) 601-8722.