

GRADIENT | SECURITIES, LLC

Gradient Securities, LLC's Business Continuity Statement

Gradient Securities, LLC has developed a Business Continuity Plan for 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 information about our business continuity plan so that you are aware of the impact on our services. If you have questions about our business continuity planning, you can contact us at compliance@gradientsecurities.com for more information.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at **1-866-991-1539**, you should call our alternative number **1-800-407-4137** or your representative/advisor directly. Our firm does not maintain custody of clients' funds or securities, make markets in any securities, execute trades directly, or participate in underwritings. Each of these tasks is conducted by GS' product sponsors or the firm's clearing firm. Each of GS' product sponsors and clearing firm are responsible for the development of contingency procedures to provide the above noted services in the event of a business disruption. You can contact the product sponsor or vendor, listed on your statement, directly to provide prompt access to funds and securities, enter orders and process other trade-related, cash and security transfer transactions.

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, counter- party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

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 an alternative site when needed and expect to recover and resume business within 12 hours. 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 48 hours. In either situation, we plan to continue business, and notify you through our web site, www.gradientsecurities.com, or our customer emergency number **1-800-407-4137**, for more information on how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities directly through the vendor, product sponsor, or clearing firm.

For more information – If you have questions about our business continuity planning, you can contact us at **1-866-991-1539**, or by mail at 4105 Lexington Avenue, Ste 380, Arden Hills, MN 55126, or by e-mail at compliance@gradientsecurities.com.

