
Professional *T*rading *S*ervices *B*rokerage, *L*L*C*



Business Continuity Plan Disclosure Document

In the event of a business disruption due to any event, whether that be natural, terroristic or otherwise, we will continue to serve you by any means possible. We will continue to run our operations from our current facility or an alternative facility if needed. In the event of a business disruption, we would be operational almost immediately. If there were disruptions due to electric or utility failure, as soon as services were restored, we would be operational. If it was determined that the utilities were affected for an indeterminate period of time, we could set up a temporary office in an area where utilities are available.

All of our records are backed up electronically at an offsite location as well as at the particular investment company that is custodian for your assets. We have redundant backup procedures to assure record access and retention. The custodians also have systems in place to deal with business disruptions, although as indicated, we don't rely solely on them.

In the event our office phone was inoperable, you can reach us by e-mail: pts@ptsbrokerage.com. If we had to make changes in the event of a business disruption, we would make every effort to contact you first and provide you an update of our status.

If we were unavailable due to circumstances beyond our control, you could always contact the custodian of your assets, either by phone or internet web sites. That information is available on your confirmations and statements that you periodically receive.

We pledge to make every effort to insure a smooth and seamless transition in the event of a business disruption. If you have any questions or comments on how we may better serve you, please contact us at pts@ptsbrokerage.com. And as always, we appreciate your trust and loyalty.

Sincerely,

Richard W. Schank, CFP®, ChFC, CLU, CFS, RHU, REBC, EA
President, CFO