



1820 Lancaster Street
Baltimore, MD 21231

MEMBER FINRA, SIPC
Lombard Securities, Incorporated
Business Continuity Plan Summary

Lombard Securities Incorporated ("Lombard") has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our 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. Lombard's plan is reviewed annually and updated, as necessary.

Our Business Continuity Plan is designed to enable Lombard to continue or resume its operations as quickly as possible, given the scope and severity of the significant business disruption. 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.

Lombard's plan anticipates two kinds of significant business disruptions: those which are external, such as a terrorist attack or other regional or national disruption that could prevent the operation of some or all of the securities markets and which could affect the performance of a substantial number of businesses; and those which are internal, which would affect only Lombard's ability to communicate and do business, such as a flood or fire directly affecting the firm's main office.

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 securities if we are unable to continue our business.

During a significant business disruption, Lombard will re-establish communications and telephone service with our clients as soon as possible. As a client of Lombard we recognize you may need access to your account to sell a position or request a check before we re-establish telephone service. During this time, First Clearing*, our clearing firm, can assist you with sell/liquidation orders and provide check disbursements, if needed. If our firm has declared an emergency and you cannot contact us, please call First Clearing* for Assistance at 877-496-3223.

Our clients should check our website at www.golombard.com for our latest information. If you have questions about our business continuity planning, you can contact us at 410-342-1300 or toll free at 1-800-755-2144.

*First Clearing is a trade name used by Wells Fargo Clearing Services, LLC, Member SIPC, a registered broker-dealer and non-bank affiliate of Wells Fargo & Company.