



DAI Securities, LLC (“DAIS”) and DAI Wealth (“DAIW”), collectively (“DAI”) have developed a Business Continuity Plan. If, after reading the following, you have questions about the Plan, you may contact DAI at 833-594-0370.

Significant business disruptions can vary in their scope and severity. In a disruption to only DAI or a building housing DAI, DAI will transfer operations to a local site. DAI would expect to recover and resume business within one (1) to five (5) business days. In a disruption affecting DAI’s business district, city, or region, DAI will transfer operations to a site outside of the affected area and recover and resume business within five (5) to fifteen (15) business days. In either situation, DAI plans to continue in business, transfer operations to DAI’s clearing firm if necessary, and notify clients how to conduct business with DAI through the company’s public website (<http://www.daiscurities.com>) and/or the clients’ Representatives.

If the significant business disruption is so severe that it prevents DAI from remaining in business, DAI will assure prompt access to client funds and securities. DAI’s business continuity plan is designed to permit it to resume operations as quickly as possible. DAI’s business continuity plan addresses: safeguarding employees and property; protecting the firm’s books and records; making a financial and operational assessment; data backup and recovery; all mission critical systems; financial and operational assessments; alternate communications with customers, employees, registered representatives and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring customers prompt access to their funds and securities if DAI is unable to continue business.

If after a significant business disruption, a client cannot contact DAI at 833-594-0370, please call DAI’s alternative telephone number 404-531-7080, visit www.daiscurities.com/, or write DAI 2200 Century Pkwy NE, Suite 435, Atlanta, GA 30345. If DAI cannot be contacted through those means, please contact the appropriate clearing firm or product sponsor for assistance with access to assets, processing deposits of funds or securities, and processing other transactions. The contact information for our clearing firm is as follows: Hilltop Securities (Hilltop) may be reached at 214-859-9100. Contact information for other product sponsors may be found on account statements provided by your product sponsors. DAI’s clearing firm backs up DAI’s important records in a geographically separate location. DAI has been advised by its clearing firm that their objective in the event of such a disruption is to restore their own operations and be able to complete existing transactions and accept new transactions and payments within a reasonable time frame should there be an interruption in their business. Client orders and requests for funds and securities could be delayed during this period.