



# ISC Group, Inc.

## Business Continuity Plan Client Disclosure

*ISC Group, Inc. 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.*

---

**Our Business Continuity Plan (“BCP”)** 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 customer 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 BCP addresses: (i) data backup and necessary recovery; (ii) all mission critical systems; (iii) financial and operational assessments; (iv) alternative communications with customers, employees, and regulators; (v) alternate physical location of employees; (vi) critical supplier, contractor, bank and counterparty impact; (vii) regulatory reporting; and (viii) assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm, RBC Clearing & Custody (“RBC”), will back up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, RBC has a plan to restore their own operations and be able to complete existing transactions and accept new transactions and payments within a reasonable period of time. Your orders and requests for funds and securities could be delayed during this period.

**Varying Disruptions** Significant 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 level 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 a local site when needed and expect to recover and resume business within a reasonable period of time. In a disruption affecting our business district, city, or region, we will attempt to transfer our operations to a site outside of the affected area and recover and resume business within that same time. In either situation, we plan to continue in business, and provide notice on our website: <https://iscgroup.com> on how to contact us to service your financial needs. 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 through the notification process on our website.

**Contacting Us** After a significant business disruption, you should be able to contact us as you normally would via the following methods: (i) telephone at (214) 520-1115 or (800) 888-3520; (ii) fax at (214) 520-3202; or through our website <https://iscgroup.com>. If necessary, our key personnel will work remotely as designated in our formal Business Continuity Plan. If your account is not held at RBC, you can contact the vendor that holds your investments (e.g., insurance carrier or mutual fund company) directly at the phone number listed on your account statement.

**Brokerage services and securities offered through Institutional Securities Corporation, Member FINRA/SIPC. Investment advisory services offered through ISC Advisors, Inc. Both companies are wholly owned subsidiaries of ISC Group, Inc., 3500 Oak Lawn Ave., Suite 400, Dallas, TX 75219, (214) 520-1115.**