

Business Continuity Plan Statement

HUCKIN FINANCIAL 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.

Contacting us – If after a significant business disruption you cannot contact us as you usually do at (713) 526-8411, you should call our alternative number (713) 629-1096, go to our web site at www.huckinfinancialgroup.com or contact your sales representative via e-mail.

If you cannot access us through any of those means, you should contact directly the issuing company that holds your investments. The issuing company's business continuity plan should have been provided to you at the time you placed your investment with the company.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond in the following manner, safeguard our employees and property, make a financial and operational assessment, protect the firm's books and records, and allow 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 back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternative 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.

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 that affects 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 the same business day. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected areas, and recover and resume business within two business days. In either situation, we plan to continue in business, and notify you through our phone number 713-526-8411, updates to our website, or by contacting you directly regarding 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 investments via notifying the issuers where our customer's investments are held.