



**Business Continuity Disclosure Statement for HD Vest Investment Services®, HD Vest Advisory Services®, and H.D. Vest Insurance Agency, LLC.**

*This disclosure is effective as of September 30, 2017.*

H.D. Vest, Inc., a Blucora company, d/b/a HD Vest Financial Services® and the family of HD Vest companies including HD Vest Investment Services, HD Vest Advisory Services, and H.D. Vest Insurance Agency, LLC (collectively, "HD Vest" or the "Firm") is providing you with this document to inform you of its ability to respond to certain business disruptions. HD Vest Investment Services is a fully disclosed broker/dealer that introduces its accounts on a fully disclosed basis to clearing firms to facilitate the execution and clearing of securities transactions. HD Vest Advisory Services is a registered investment adviser and H.D. Vest Insurance Agency, LLC is a licensed insurance agency. All custody of assets is maintained by the clearing firms, mutual fund companies or transfer agents, and insurance carriers. Consistent with its business continuity plan, HD Vest maintains back-up facilities in geographic locations separate from its primary facilities. Using these back-up facilities, the Firm intends to continue its business in the event of a significant business disruption. Nevertheless, there are some disruptions that may render the Firm unable to continue its business. Under such circumstances, HD Vest will ensure that clients will be able to access their funds and securities within a reasonable time directly from their clearing firms, mutual fund transfer agents, and insurance carriers.

To receive up-to-date information during a significant business disruption, clients may call the Firm's emergency telephone number at (866) 323-3066 or visit our emergency information web page at <https://www.hdvest.com/emergency>.

The following describes specific disruption events and HD Vest's intended business continuation responses to those events. Clients, however, should note that these responses are subject to modification and, depending on the severity of a specific event, HD Vest cannot guarantee that it will be able to follow the stated course of action. If these responses are modified, HD Vest will post the updated disclosure statement on its website. As an alternative, clients may request that the Firm send them, by mail, a copy of the updated disclosure statement by contacting the Firm as follows:

HD Vest Financial Services  
Attn: Business Continuity Planning  
6333 North State Highway 161, 4<sup>th</sup> Floor  
Irving, Texas 75038

### ***A Disruption to a Single Building***

This disruption may be caused by physical damage, technology problems, or an inability to have personnel arrive at the office. Because some buildings, such as the corporate office, are more critical to the Firm's operations, HD Vest's ability to resume business following a business disruption to a specific building depends on the building affected. If a single location is nonfunctional, HD Vest has duplicative systems and other processes that will run from a separate building.

The Firm expects only minimal delays from the transfer of operations. If there is a disruption to the corporate office, HD Vest expects that operations could be disrupted for up to two (2) hours.

### ***A Firm-Only Business Disruption***

In the event that there is a significant business disruption to the Firm's internal primary systems, HD Vest will transfer its operations to its back-up facilities. In this process, clients may experience a minor delay in reaching the Firm due to increased telephone calls, technology delays, or other minor difficulties arising from the transfer of operations. HD Vest expects that any delay will be less than two (2) hours. Nevertheless, the unlikely failure of the systems could result in a delay of up to four (4) hours.

### ***A Business-District, City-Wide, or Regional Disruption***

In the event there is a significant business disruption that affects the business district, city, or region where any of the Firm's primary systems are located, HD Vest could conduct its operations at an alternate third party location. In this process, clients may experience a minor delay in reaching the Firm due to increased telephone calls, technology delays, or other minor difficulties arising from the transfer of operations. HD Vest expects that any delay may be up to 24 hours.

### ***An Advisor-Only Business Disruption***

In the event that there is a significant business disruption where your Advisor's ability to service your account is disrupted for any reason, or you are unable to communicate with your Advisor, you can contact HD Vest's home office directly at (866) 218-8206, option 2.

HD Vest Financial Services is the holding company for the group of  
companies providing financial services under the HD Vest name.  
Securities offered through HD Vest Investment Services, Member SIPC  
Advisory services offered through HD Vest Advisory Services  
6333 N. State Highway 161, Fourth Floor, Irving, TX 75038, (972) 870-6000  
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