

Business Continuity Plan (Cont.)

Our clearing firm, Pershing LLC backs up our important records in a geographically separate area. We understand that every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, Pershing has advised us that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 5 business days. You should understand that your orders and requests for funds and securities could be delayed during this period.

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 to only our firm or a building housing our firm. We will transfer our operations to a local site outside of the affected area, and recover and resume business within 10 business days. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site www.ausdal.com or our customer emergency number, 563-529-1827 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 funds and securities.



220 N. Main St. Suite 400
Davenport, IA 52801

Phone: 563-326-2064
Fax: 563-326-2159
E-mail: ausdal@ausdal.com



We Care About Your Privacy!

In compliance with Gramm-Leach-Bliley (GLB), this notice describes the privacy policy and practices followed by Ausdal Financial Partners

Your Privacy is a high priority for us and it will be treated with the highest degree of confidentiality. In order for us to be able to provide you with financial services, we need to collect certain information from you. However, we want to emphasize that we are committed to maintaining the privacy of this information in accordance with law. All individuals with access to personal information about our customers are required to follow this policy.

Member FINRA / SIPC

Information That Is Collected:

While providing service to you, we collect personal information from the following sources:

- Information we receive from you on insurance and annuity applications, new account forms or other forms such as your name, address, date and location of birth, marital status, sex, social security number, medical information, beneficiary information, etc.
- Information about your transactions with us, our affiliates or others such as tax information, investment information, and accounting information
- Information we receive from consumer reporting agencies, such as your credit history.

Information That May Be Disclosed:

We may provide the non-public information that we collect to affiliated or nonaffiliated persons or entities involved in the maintenance, processing and servicing of your Ausdal Financial Partners account. We will not provide this information to any other nonaffiliated third party unless we have a written agreement that requires such third party to protect the confidentiality of this information. We may have to provide the above described non-public information that we collect to authorized persons or entities to comply with a subpoena or summons by federal, state or local authorities and to respond to judicial process or regulatory authorities having jurisdiction over our company for examination, compliance or other purposes as required by law.

We do not disclose any non-public personal information about our customers to anyone except as permitted or required by law.

Our Representatives

We recognize that our representatives are independent financial professionals and you have elected to open accounts with us due to the efforts of our representatives. Because of the importance of your relationship with your representative, if he/she elects to leave our firm for another brokerage, investment advisory or insurance firm, we or your advisor may share your information with the new firm

in order to facilitate the transfer of your accounts. This sharing of information is subject to the requirements or limitations of applicable law.

If you do not want your advisor to disclose your personal information to the new firm in order to continue servicing your account please contact us in writing at: Ausdal Financial Partners, 220 North Main Street, Suite 400, Davenport, IA 52801 to opt-out of this information sharing.

Some states require that your affirmative consent to share your personal information with the new firm. In this case, you must offer written consent before your advisor is allowed to take any of your personal information to the new firm.

If you want to follow your financial advisor to their new firm when your advisor terminates his or her relationship with us, you do not need to take any action. **You may withdraw your consent at any time by contacting us in writing at the address provided above.**

Confidentiality & Security of Your Non-public Personal Information:

We restrict access of non-public personal information about you to only those persons who need to know about that information to maintain, process, and service your account with Ausdal Financial Partners.

We maintain physical, electronic, and procedural safeguards that comply with state and federal standards to guard your non-public personal information.

If we become aware that an item of personal information may be materially inaccurate, we will make a reasonable effort to re-verify its accuracy and correct any error as appropriate.

Information about Former Customers:

Ausdal Financial Partners maintains non-public information about our former customers on a confidential and secure basis. If any such disclosure is made, it would be for reasons and under the conditions described in this notice. We do not disclose any non-public personal

information about our former customers to any one except as permitted or required by law. An investor brochure that includes information describing the Public Disclosure Program can be obtained by accessing FINRA's website (www.FINRA.org) or calling FINRA's hotline number (800-289-9999)

Business Continuity Plan

Ausdal Financial Partners 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 563-326-2064 or ausdal@ausdal.com, you should call our alternative number 563-529-1827. If you cannot access us, you should contact our clearing firm, Pershing LLC at 800-635-9881 or www.pershing.com for instructions on how it may assist you.

Our Business Continuity Plan

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 you 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; 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.