

Business Continuity Plan

In accordance with regulations **CAPITAL SECURITIES INVESTMENT CORPORATION** has developed a Business Continuity Plan (BCP) on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we are 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 clearing firm- National Financial Services LLC backs up our important records in a geographically separate area. While every emergency poses unique problems based on internal and external factors, such as time of day and the severity of the disruption, our clearing firm 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 a reasonable time frame. Customer orders and requests for funds and securities could be delayed during this period. However, every attempt will be made to insure promptness. National Financial Services may be contacted by calling 800-801-9942.

Varying Disruptions - 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 when needed and expect to recover and resume business within one day. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within one day. 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.capitalsecurities.com or our customer emergency number, 800-554-2210 how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers' prompt access to their funds and securities. If one of our telephone numbers were to become unavailable for any reason, we would re-route call to another facility. Our plan will be reviewed, updated and tested periodically.

No contingency plan can eliminate all risk of service interruption or temporarily delay account access. However, **CAPITAL SECURITIES INVESTMENT CORPORATION** continually will assess and update our plan to reduce all reasonable risk.

This disclosure is subject to modification.