



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, 2018.

HD Vest has a business continuity plan ("BCP") that allows it to continue serving clients and provide them with access to their funds and securities in the event of a disaster. HD Vest reviews, updates and tests its BCP on a regular basis.

Consistent with its BCP, HD Vest maintains back-up facilities in geographic locations separate from its primary facilities. Using these back-up facilities, HD Vest expects to continue its business in the event of a significant business disruption. HD Vest cannot guarantee, however, that a significant business interruption will not impact its operations. Under such circumstances, HD Vest will make every effort to ensure that clients can access their funds and securities within a reasonable time directly from their clearing firms, mutual fund transfer agents, and insurance carriers.

In the event of a significant business disruption, information about the status of your account(s) and access to your funds and securities can be obtained from your Advisor, HD Vest's emergency telephone number at (866) 323-3066, or HD Vest's emergency information web page at <http://www.hdvest.com/emergency.html>.

Business disruptions can come in many different forms and magnitudes. Here are a few examples of what HD Vest expects to occur if it were to experience a business disruption of varying magnitude:

An Advisor-Only Business Disruption

If a significant business disruption impacts your Advisor's ability to service your account 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.

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 HD Vest's 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 one or more separate locations.

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

If there is a significant business disruption to the Firm's internal primary systems, HD Vest will transfer its operations to back-up facilities. In this process, clients may experience minor delays 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, a widespread system failure could result in a delay of up to four (4) hours.

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

If there is a significant business disruption that affects an entire business district, city, or region where the Firm's primary systems are located, HD Vest could conduct its operations from an alternate third party location. Under this contingency, clients may experience minor delays 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.

Clients should note that these responses are subject to modification and, depending on the severity of a specific disruption, HD Vest may not be able to pursue its expected continuity plan within the anticipated time frames.

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, 4th Floor
Irving, Texas 75038

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 FINRA/SIPC. Advisory services offered through HD Vest Advisory Services®. 6333 N. State Highway 161, Fourth Floor, Irving, TX 75038, (972) 870-6000 1658372 09/18