

Trading Services Group, Inc. - Business Continuity Planning

Trading Services 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 901-767-1161 | 800-969-7618 | Fax 901-680-0330, you should call our alternative number 901-568-2904 or visit our parent company's website at www.csqllc.com for more details. If you cannot access us through either of those means, you should contact our primary clearing firm, Broadcort Capital / Merrill Lynch, at 201-557-4405 or www.broadcort.com for instructions on how it may provide prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfers. As part of Merrill Lynch's broader disaster recovery program, Broadcort's crisis management team has the ability to continue critical business functions and provide essential services, including 24/7 points of contact for coordination during emergencies and business disruptions.

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 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; 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.

Our primary clearing firm, Broadcort Capital / Merrill Lynch, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments without disruption. However, your orders and requests for funds and securities could be delayed during this period. More information about Broadcort Capital / Merrill Lynch's business continuity plan can be found at the website of its parent company at www.ml.com (access the hyperlink titled "Privacy & Security").

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 when needed and expect to recover and resume business within twenty-four (24) hours. 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 three (3) business days. In either situation, we plan to continue in business, transfer operations to our primary clearing firm if necessary, and notify you through a recorded message on our regular customer telephone number, 901-767-1161 | 800-969-7618, 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 funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at 901-767-1161 | 800-969-7618.

Privacy Pledge to Customers

We respect your privacy and value the relationship we have with you. Our Privacy Pledge applies to only current or former individual customers who obtain financial products or services from Trading Services Group, Inc. ("TSG") primarily for personal, family or household purposes. It does not apply to partnerships, corporations, trusts or other non-individual customers, clients, or account holders. TSG serves your brokerage account as an introducing broker-dealer by arrangement with your clearing broker.

TSG does not disclose any nonpublic personal information about current or former individual customers as defined above to anyone, except as permitted or required by law. To appropriately service your account(s) and better understand your needs, we collect nonpublic personal information about you from applications, forms you complete, and other information provided by you, whether in writing, in person, by telephone, electronically, or by any other means, such as your name, address, social security number, assets, income and debt. Additionally, we collect information about your transactions with TSG, such as your account balances, trading activity, payment history, and parties to transactions.

We may disclose the information we collect, as described above, to our affiliates (including our parent company, Consulting Services Group, LLC) and to nonaffiliated third parties that assist us in servicing your account(s); to securities regulators as required by laws, rules and other applicable legal requirements; to others pursuant to subpoena; pursuant to your written request, or as otherwise permitted or required by law.

We restrict access to your nonpublic personal information to those employees and agents who need to know this information. In addition, we maintain physical, electronic, and procedural safeguards to protect your nonpublic, personal information.

As with any business policy, we must respond to changes in the law or in our business needs. Accordingly, we reserve the right to modify our Privacy Pledge as permitted or required by law.

If you have any questions regarding our privacy policy, please contact us by telephone at 901-767-1161 or 800-969-7618.

Important Information You Need to Know about Opening a New Account

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account.

What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

A corporation, partnership, trust or other legal entity may need to provide other information, such as its principal place of business, local office, employer identification number, certified articles of incorporation, government-issued business license, a partnership agreement or a trust agreement.

Trading Services Group, Inc. (TSG) is wholly owned by Consulting Services Group, LLC (CSG). CSG is an investment adviser that is registered with the Securities and Exchange Commission (SEC) under the Investment Advisers Act of 1940. TSG is a member of FINRA and is an introducing broker with NFA. TSG offers investment products and services.

TSG is a member of the Securities Investor Protection Corporation (SIPC). Customers may obtain information about SIPC, including a SIPC brochure, by contacting SIPC at (202) 371-8300 or at www.sipc.org.