



## ***Business Continuity Planning Customer Disclosure***

Austin Financial Strategies, Inc. (“AFS” or the “firm”) has developed a Business Continuity Plan on how we will respond to events that could 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 (through your AFS advisor or via our office telephone number, 317-889-1506), you should call 317-850-2887. If you cannot access us through any of those means, you should contact our clearing firm carrying your account. Our clearing firm’s contact information is:

Legent Clearing  
9300 Underwood Avenue, Suite 400  
Omaha, NE 68114  
1-800-811-3487  
www.legentclearing.com

First Clearing, LLC  
One North Jefferson Avenue  
St. Louis, MO 63103  
877-496-3223  
www.firstclearingllc.com

**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 operation as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup 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 process business.

Our clearing firm (above), backs up our important records in geographically separate areas. 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 their objective is to restore their mission-critical systems within four hours and resume operations the same day. Your orders and requests for funds and securities could be delayed during this period.

**Varying Disruptions-** Significant business disruptions can vary in their scope; affecting only our firm home office, 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 only to our office, we will transfer our operations to a local site when needed and expect to recover and resume business within three hours. In a disruption affecting our business district, city, or region, we will transfer operations to sites outside of the affected area, and recover and resume business within four hours. In either situation, we plan to continue conducting business, transfer operations to our clearing firm if necessary, and notify you through our investment representatives or our recruiting web site. If a significant business disruption is so severe that it prevents us from conducting business, we will assure our customer’s prompt access to their funds and securities via our clearing firms.

**For more information-** If you have questions about our business continuity planning, you can contact us at:  
Austin Financial Strategies  
7855 South Emerson Ave., Suite A  
Indianapolis, IN 46237  
Attn: Gene Austin, President