

# Teckmeyer Financial Services, LLC

## Business Continuity Plan Disclosure Statement

Teckmeyer Financial Services 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 (402) 331-8600 and/or [info@teckmeyerfinancial.com](mailto:info@teckmeyerfinancial.com), you should contact the president or vice president via cell phone. Those numbers are (402) 301-4486 for Tom Teckmeyer and (402) 871-3855 for Joe Hearn. You can also visit our website at [www.teckmeyerfinancial.com](http://www.teckmeyerfinancial.com) to look for emergency messages that we may post there. If you cannot access through either of those means, you should contact Mark Rohlik at our clearing firm, RBC Correspondent Services (RBC CS) a division of RBC Capital Markets Corporation, Member NYSE/FINRA/SIPC. That number is 1-866-506-8596. His email address is [mark.rohlik@rbc.com](mailto:mark.rohlik@rbc.com). Mark will be able to give you instructions on how RBC CS can provide prompt access to your funds and securities, enter orders and process other trade-related, cash, and security transfer transactions for 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 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 counterparty impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm, RBC CS, 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 severity of 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 usually within the same business day as the disruption. Your orders and requests for funds and securities could be delayed until we or our clearing firm are able to respond to and recover from any particular business disruption.

**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 a matter of days. 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 a matter of weeks. 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.teckmeyerfinancial.com](http://www.teckmeyerfinancial.com) or the previously listed cell phone numbers how to contact us. If the significant business disruption is so severe and 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 (402) 331-8600 or [info@teckmeyerfinancial.com](mailto:info@teckmeyerfinancial.com). A statement regarding the business continuity plan of our clearing firm is posted below.

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### RBC Capital Markets Corporation Continuity Planning Statement

RBC Capital Markets Corporation (the "Firm") is committed to protecting our employees, clients and their assets at all times, including in times of emergency. As part of this commitment, and in compliance with the internal Enterprise Business Continuity Management policy and industry regulations (FINRA, NFA, et al), the Firm maintains a business continuity plan (the "Plan").

The Plan provides for sustainable operating environments during any crisis/incident or major business interruption that adversely impacts the Firm's ability to conduct business. The Plan addresses various scenarios including but not limited to a departmental disruption, building, city-wide or regional disruption, or a pandemic incident.

The planning process begins with a review of financial and operational risk, communications, continuity plan documentation and exercises. The Firm employs multiple work area recovery strategies to provide continuous support. These strategies include but are not limited to: work displacement, work load shifting, alternate physical facilities, remote access, etc.

The Firm has implemented steps to allow clients prompt access to their funds and securities in the event of a significant business disruption. The recovery time objectives from the Firm's essential business processes are determined through an annual Business Impact Analysis. These recovery objectives may be negatively affected by the unavailability of external resources and circumstances beyond the Firm's control.

The Plan is maintained in multiple locations and updated annually or whenever there is a material change to the business.

The Firm continuously tests throughout the year to improve the Plan and provide the best possible recovery solution to the Firm and its clients. Because the Firm's plan contains details of a confidential and proprietary nature it is not distributed to the public. The Plan is subject to modifications and any material changes to the statement above will be promptly posted on the Firm's websites as required by applicable law. Hard copies of this disclosure document can be obtained upon contacting your Financial Adviser.