

**MISCHLER FINANCIAL GROUP, INC.'s**  
**BUSINESS CONTINUITY PLAN**  
**SUMMARY DISCLOSURE**

In compliance with FINRA Rule 4370, Mischler Financial Group, Inc. (MFG) has established a business continuity plan (BCP) to address possible significant business disruptions (SBDs). Further, as required by FINRA Rule 4370(e), MFG is making this summary disclosure available.

The firm has chosen to provide this Summary via the firm's website found at [www.mischlerfinancial.com](http://www.mischlerfinancial.com), by providing customers with a copy at the time of account opening, or by mail upon either a verbal or written request. It is important to note that MFG's BCP is subject to modification. Upon any such modification, an updated Summary will be posted immediately on the firm's website. Customers may also receive such updates by mail upon written or verbal request.

MFG realizes the importance of providing uninterrupted business regardless of adverse conditions and has enacted procedures to ensure the services and support systems necessary to meet all existing obligations. We believe that our plan adequately identifies and eliminates business continuity risk associated with various types of SBDs (whether firm only, single building, business district-wide, citywide, or region-wide).

Provisions for financial and operational assessment are in place to insure the quick recovery and resumption of operations, as well as protection of all of the firm's books and records. Designated emergency contact persons for MFG oversee MFG's emergency back-up systems. Included in these are systems for electronically backing up and storing data. Also, an off-site location is utilized for storage of many hard copy books and records. As to MFG employees, contact lists for all MFG employees are kept current. MFG has various methods for contacting our employees and all employees will be able to meet at our designated back-up location.

In the event of a SBD, MFG customers are assured that they will have prompt access to their funds and securities. Our firm is an introducing firm and does not perform any type of clearing function for itself or others. We do not hold customer funds or securities. All transactions are cleared on a fully disclosed basis through Broadcort/Bank of America/Merrill Lynch (AKA Broadcort Correspondent Clearing Division of Merrill Lynch, Pierce, Fenner & Smith). MFG is in possession of Broadcort/Bank of America/Merrill Lynch's BCP and has communicated with them regarding any necessary BCP issues.

In the event of a SBD, MFG will move our operations to our designated back-up/recovery site. Necessary business tools, such as computers, phones, etc. are kept at our back-up site and will be tested annually. Details pertaining to the location of our back-up facility, any existing arrangements, any individuals with whom those arrangements have been made and other details can not be disclosed for security reasons.

**In the event of a SBD, our website [www.mischlerfinancial.com](http://www.mischlerfinancial.com) will contain alternate telephone numbers for both MFG and our clearing firm (Broadcort Correspondent Clearing Division of Merrill Lynch, Pierce, Fenner & Smith) in order to provide clients access to their account.**

Though MFG is cognizant of the fact that no BCP is perfect, we have done our best to accomplish our goal concerning this issue. This BCP is subject to change without notice. If material changes are made to MFG's BCP, an updated disclosure will be posted on MFG's website.