



A Registered Investment Advisor

Sigma Planning Corporation (SPC) Business Continuity Planning

SPC has developed a Business Continuity Plan that describes 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 your investment adviser representative, please contact us at (888) 744-6264 or go to our web site at www.spc4clients.com.

If you cannot access us through those means and you have a SIGMA Managed Account, you should contact our clearing firm, Fidelity Institutional Wealth Services, at (800) 544-6666 for instructions on how they may be able to service your needs while you are unable to contact us. They should be able to provide you with prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions for you. If you have an advisory account which is held by a direct custodian, contact them at the phone number provided on your statements.

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 clients 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; mission critical systems; financial and operational assessments; alternative communications with clients and employees; alternate physical locations of employees; critical business constituent and bank impact; regulatory reporting; and assuring our clients prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm, Fidelity Institutional Wealth Services, backs up our important records at a remote, out-of-region site. 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 it operates a backup operating facility in a geographically separate area with the capability to conduct the same volume of business as its primary site. Your orders and requests for funds and securities could be delayed during the period of time it takes for our clearing firm to restore its own operations after a significant event.

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 48 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 expect to recover and resume business within 3 business days. 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.spc4clients.com) or alternate means of communication 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 clients prompt access to their funds and securities.

For more information – If you have questions about our business continuity plan, you can contact us at (888) 744-6264.