

**. Highlander Capital Group, Inc**  
**Business Continuity Planning Disclosure**

In accordance with FINRA Rule 4370, Highlander Capital 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, flexibility will be the key 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** – In the event of a significant business disruption you can contact us as you usually do at (973) 718-3510 or check our web site at [www.highlandercapital.com](http://www.highlandercapital.com). If you cannot access us through either of those means, you should contact either Doug MacWright at (973) 216-6777 or Cindy Blustein at (201) 259-6200.

**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 book and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit Highlander Capital Group, Inc. 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 fund and securities if we are unable to continue business.

Our clearing firm, RBC Correspondent Services (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 and the severity of the disruption, we have been advised by our clearing firm that its computer centers are equipped with stand-alone electrical power and cooling capabilities sufficient to run for several weeks without relying on utility power. In an effort to ensure that applications are restored within a period of time acceptable to the business, applications have been prioritized, and their recovery requirements are based off that prioritization.

**Varying Disruptions** - Significant business disruptions can vary in their scope, such as only Highlander Capital Group, Inc., 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 as soon as operationally possible. 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 five business days. In either situation, we plan to continue our business,

transfer operations to our clearing firm if necessary, and notify you via telephone, fax, email, or through our web site of the specific situation and our plans to implement our contingencies and 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 any questions about our business continuity planning, you can contact Cheri L. Harris at (973) 718-3510 or at [charris@highlandercapital.com](mailto:charris@highlandercapital.com).