Southland Equity Partners

BUSINESS CONTINUITY PLAN

CONTINGENCY PLAN AND PROCEDURES

To facilitate an efficient and timely resumption of interrupted business operations in case of a disaster, Southland has established procedures with respect to its own employees, books and records, clients, and the trading data of our clients necessary in managing their accounts. The intent of these procedures is to minimize disruption of services and inconvenience to our employees and our clients allowing Southland to fulfill its fiduciary, legal and regulatory obligations.

1. EMPLOYEE COMMUNICATIONS

A contact list of all current employees including home telephone numbers, cell phone numbers and emergency contact numbers will be maintained by the Compliance Officer. This list will identify who has the responsibility to declare a disaster situation, who has the authority to activate the recovery plan, and who is responsible for contacting other employees once a disaster has been declared and for keeping employees informed of how the business recovery process is progressing. Calling teams may be defined to facilitate prompt dissemination of information.

It is the responsibility of each employee to provide all revisions to this contact list in a timely manner to the Compliance Officer; and, at least yearly, the Compliance Officer will require each employee to verify the data is current and has not changed. In addition, each employee with responsibilities for contacting other employees will keep a copy of this list at his/her home where he/she can access it should an urgent situation occur outside regular office hours.

In case of a disaster, the CEO and the Compliance Officer will determine the extent of the emergency and decide what is expected of employees at that time. The Compliance Officer will then call each employee or call team captains to let them know the status and when to expect further updates.

Employees are required to keep the Compliance Officer or their call team captain informed as to where they are and how they may be contacted throughout the duration of the disaster.

2. ALTERNATIVE PHYSICAL FACILITIES /RELOCATION SITE

If the principal place of business is damaged or destroyed, each employee will be told where they are to report and when. Emergency headquarters will be established in the home of a principal officer of Southland or some other predefined location until the principal place of business is repaired or until another site is selected. Where practicable, employees will be permitted to work from their home.

If it is necessary to evacuate the entire area (i.e. in case of hurricanes, tornadoes or an event such as occurred September 11, 2001), the Compliance Officer will let everyone know if a temporary office site is being established, where it is, and who is to report there and when.

The Compliance Officer will notify the telephone company and the post office as to where telephone calls and mail should be forwarded until they are able to return to the principal place of business or a new permanent principal place of business is established. As soon as practicable, the Compliance Officer will update their ADV through the IARD system to reflect any changes.

The Compliance Officer will also maintain a complete list of all computer equipment and software required for the company to resume activities. This list will include hardware serial numbers, software registration numbers and names and telephone numbers for all manufacturers of both hardware and software. He/she will have available lists of vendors where this equipment may be obtained promptly and efficiently.

The Compliance Officer will contact the insurance company and start proceedings for any claims that may need to be submitted.

3. CLIENT COMMUNICATIONS

Each adviser representative will maintain a list of their clients including contact information and will provide this information to the Compliance Officer who will maintain a master list of clients. Adviser representatives will also keep a copy of this list at their home and will establish communications with each of their clients as soon as practicable. If it is necessary to evacuate an area, adviser representatives will have this list with them or have access to retrieve it.

If an adviser representative is not able to contact his clients, it is the responsibility of the Compliance Officer to notify these clients of the adviser representative's situation and assist them in determining how best their account may be managed at that time.

In the event that Southland's principal place of business is damaged or destroyed, a principal officer of Southland will promptly retrieve client account data from its off-premise storage location (see below) and adviser representatives will promptly establish communications with each of their clients and their respective brokers as soon as practicable.

4. CLIENT PROFILE INFORMATION

Hard copies of client written agreements and other supporting documents executed in setting up client accounts will be maintained in each client's folder at Southland's principal place of business. These documents are maintained on the premise of the principal place of business for as long as the account is active. If an account becomes inactive, these documents will remain at the principal place of business for two years and thereafter filed in a specified off-premise location.

All of the above account information is stored on Southland's computer hard drive and backed up at least quarterly onto some other storage media, i.e., CD, zip drive diskettes, or a remote computer hard drive. These backed up files will be maintained at a specified off-site location and are available in the event the hard copies are lost or destroyed. The off-site location will have adequate security to protect client and company confidential information.

5. INCAPACITY OF ADVISER REPRESENTATIVE

In the event that the adviser representative managing client accounts becomes incapacitated (or demised), it will be the responsibility of the principal officer of Southland to contact the clients and make arrangements for another manager of similar temperament and experience to assume responsibility for these accounts. However, the client(s) must approve any reassignment of management responsibility in writing.

6. PRINCIPAL PLACE OF BUSINESS IN OFFICE BUILDING OR PARK

Southland will coordinate with the management team for the office building or office park in developing plans for evacuating the office premises should a disaster occur during office hours.

7. TESTING THE PROCEDURES

At least once during each calendar year, Southland's Compliance Officer will conduct testing on the implementation of the BCP and will maintain documentation of such testing.

Southland Equity Partners

PRIVACY NOTICE

Maintaining the trust and confidence of our clients is a high priority. That is why we want you to understand how we protect your privacy when we collect and use information about you, and the steps that we take to safeguard that information. This notice is provided to you on behalf of Southland Equity Partners.

Information We Collect: In connection with providing investment products, financial advice, or other services, we obtain non-public personal information about you, including:

- Information we receive from you on account applications, such as your address, date of birth, Social Security Number, occupation, financial goals, assets and income;
- Information about your transactions with us, our affiliates, or others; and
- Information received from credit or service bureaus or other third parties, such as your credit history or employment status.

Categories of Information We Disclose: Southland Equity Partners and its affiliates do not sell customer lists and will not sell your name to telemarketers or other third parties. However, we do disclose your personal information to third parties or outside companies that help us service your account. Southland Equity partners may also provide your personal information when permitted or required by law or regulation.

Categories of Parties to Whom We Disclose: We will not disclose information regarding you or your account with us, except under the following circumstances:

- To your authorized Registered Representative and his or her manager;
- To our parent companies or their affiliates, to the extent permitted by law;
- To entities that perform services for us or function on our behalf, including financial service providers, such as a clearing broker-dealer, investment company, or insurance company;
- To consumer reporting agencies,
- To third parties who perform services or marketing on our behalf;
- To third parties for whom you have provided our firm permission to share information; and
- To government entities or other third parties in response to subpoenas or other legal process as required by law or to comply with regulatory inquiries.

How We Use Information: Information may be used among companies that perform support services for us, such as data processors, technical systems consultants and programmers, or companies that help us market products and services to you for a number of purposes, such as:

- To protect your accounts from unauthorized access or identity theft;
- To process your requests such as securities purchases and sales;
- To establish or maintain an account with an unaffiliated third party, such as a clearing broker-dealer providing services to you and/or Southland Equity Partners;
- To service your accounts, such as by issuing checks and account statements;
- To comply with Federal, State, and Self-Regulatory Organization requirements;
- To keep you informed about financial services of interest to you.

Our Security Policy: We restrict access to nonpublic personal information about you to those individuals who need to know that information to provide products or services to you and perform their respective duties. We maintain physical, electronic, and procedural security measures to safeguard confidential client information.

Closed or Inactive Accounts: If you decide to close your account(s) or become an inactive customer, our Privacy Policy will continue to apply to you.

Complaint Notification: Please direct complaints to: Southland Equity Partners, 1443 Westhampton View Lane; Wildwood, MO 63005. (770) 998-5879.

Changes to This Privacy Policy: If we make any substantial changes in the way we use or disseminate confidential information, we will notify you. If you have any questions concerning this Privacy Policy, please write to: Southland Equity Partners, 1443 Westhampton View Lane; Wildwood, MO 63005. (770) 998-5879.

FOR INVESTMENT ADVISORY ACCOUNTS: UPON REQUEST, WE WILL PROVIDE TO YOU, AT NO COST, A COPY OF PART II OF OUR MOST RECENT ADV OR OTHER APPLICABLE DISCLOSURE BROCHURE, WHICH DESCRIBES OUR ADVISORY SERVICES AND OTHER IMPORTANT INFORMATION. IF YOU WOULD LIKE A COPY OF THIS DISCLOSURE, PLEASE CONTACT US AT SOUTHLAND EQUITY PARTNERS, 1443 WESTHAMPTON VIEW LANE; WILDWOOD, MO 63005. (770)998-5879.