



Business Continuity Plan Summary Disclosure Statement

LWBJ Investment Services, LLC (the Firm) has developed a Business Continuity Plan (BCP) as part of our ongoing contingency planning efforts to mitigate the impacts of business interruptions. 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 BCP.

The Firm plans to quickly recover and resume business operations after a Significant Business Disruption (SBD) and respond by safeguarding employees' lives and business property, making a financial and operational assessment and protecting its books and records. In short, our BCP is designed to permit the Firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our BCP 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 and regulatory reporting.

All mission-critical systems are backed up and a copy is stored offsite. Mission-critical systems are defined by the Firm. In the event of an SBD, these backups will be obtained and restored as necessary.

Regardless of all the effort put forth on this vital concern, we acknowledge that no disaster recovery plan is perfect. The unpredictable nature of disasters precludes absolute preparedness for any plan. Certain situations may arise that affect outside entities upon which we rely for some service or collaboration. It is possible for circumstances to arise outside of what has been defined within the BCP.

SBDs can vary in their severity. We plan to continue in business and notify you through the Firm's page on the website of our affiliate, LWBJ Financial, LLC, www.lwbj.com, or our main telephone number (515) 222-5680, or toll-free (888) 560-5680, regarding how to contact us.

The BCP is subject to modification without notice. An updated summary will be promptly posted on our website at www.lwbj.com and customers may alternatively obtain updated summaries by requesting a written copy by mail at 4200 University Avenue, Suite 410, West Des Moines, IA 50266.