



## Northland's Business Continuity Plan Summary

Northland Securities, Inc. (the Firm) is committed to protecting all clients and their assets during business disruptions due to emergency situations. Toward that end the Firm developed a Business Continuity Plan (BCP) in order to effectively respond to those events.

Northland Securities, Inc. is a fully disclosed introducing broker-dealer and all client accounts and assets are held by our clearing broker-dealer, Pershing, LLC, located in Jersey City, NJ. Because Pershing maintains custody of client accounts and securities, parts of the Firm's business continuity plan, (such as books and records recovery), may rely on Pershing to facilitate. For your reference, Pershing's Business Continuity Plan is available on their website at [www.Pershing.com](http://www.Pershing.com) or by calling (201) 413-3635. Both Northland and Pershing are members of FINRA and SIPC.

The BCP was developed to address the recovery of the Firm's businesses as quickly as possible dependent on the magnitude of the situation which caused business to be disrupted. The plan provides contingencies in the event of a business disruption which may affect only our firm, a single office location of our firm, the city where the firm is located or the entire region. The BCP addresses mission critical systems, separate geographic back-up facilities, alternative communication systems and recovery of books and records to ensure clients continued access to their funds and securities.

Some recovery objectives may be negatively impacted by circumstances that are beyond the firm's control. For example, if the disruption is so extensive in scope as to disrupt business for Northland Securities' and Pershing, LLC. If this occurs, Pershing will restore their operations first and this may cause requests for funds and securities to be delayed during this time. If an event occurs that is so severe that Northland Securities is unable to continue to do business, the firm will ensure that clients will be able to access their funds and securities within a reasonable amount of time.

While we realize no contingency plan will eliminate all risk of service interruptions, the BCP is updated and tested in an effort to reasonably mitigate the risk. The BCP is subject to change at any time. Material changes to the BCP are promptly posted to the firm's web site. The BCP in its entirety contains both confidential and proprietary information and is not available to the public. Please contact us if you require a hard copy of this summary statement.

**Contacting Us** – In the event of a disruption to business, contact the firm at (800) 851-2920.