



RELIANCE Investing, Inc.

BUSINESS CONTINUATION PLAN

Revised April 19, 2011

The Chief Compliance Officer has developed the following procedures to launch a timely recovery from a disaster. The basis of these procedures is to minimize the impact of a disaster to the firm, its employees, vendors and clients. A BCP team has been assembled and trained on their responsibility in case of a disaster.

DECLARING AN EMERGENCY

The President will be considered the Disaster Team Leader and will be responsible for declaring an emergency situation. In the event the President is not able to make such a declaration, the responsibility will be passed on to the next person on the Team Alert List and so on and so forth until a designated Team Member can make such a declaration.

The BCP team leader will be responsible for maintaining a list of all current employees and their contact information. It is the responsibility of the team leader to maintain this list and keep it current. All employees are required to review the list and make any appropriate changes at least semi-annually. Employees that are concerned about privacy issues are requested to discuss this concern with the Chief Compliance Officer and special arrangements will be made to mitigate such concerns.

In the event of a disaster the President will notify the firm's senior officers to review the extent of the emergency and make a decision on which plan of action should be followed. If the senior officers cannot be reached the VP (or the next in line on the Team Alert List) shall take it upon him/herself to make such decisions. Once a determination has been made, the Chief Compliance Officer will call each employee, or designate someone to make such calls, advise the employee of the emergency declaration and provide instructions to the employee.

DESTRUCTION OF THE FIRM'S PRINCIPAL PLACE OF BUSINESS

In the event that the principal place of business is destroyed or damaged to a point where it cannot be utilized, the Chief Compliance Officer will contact each employee and provide

instructions for reporting to work. The firm has made the following arrangements in case of such an emergency:

Primary Location

Facility Name: RELiANCE Investing	
Street Address: 5050 Robert J. Matthews Suite 900	Floor: 1
City/State/Zip: El Dorado Hills/ CA/ 95762	

Alternate Location

Facility Name: RELiANCE Investing Office	
Street Address: 1443 West 800 North	Floor: 1
City/State/Zip: Orem/ Utah/ 94057	

NOTIFICATION OF PROPER AUTHORITIES

After an emergency has been declared the Chief Compliance Officer will notify the proper regulatory authorities of the nature of the emergency, and the temporary location of the firm. Additionally, the President will notify the local public utilities, the telephone company, the post office and any other vendor as deemed necessary.

EQUIPMENT/HARDWARE

The Chief Compliance Officer will maintain a list of all equipment, hardware and software, used by the firm. The list shall contain the item, the serial number, the manufacturers and serial/registration number. The firm's insurance company will be notified of any damages.

CLIENT INFORMATION AND CLIENT TRADING RECORDS

Original client agreements, contracts, profiles, and other documentation related to each client as well as trading records, brokerage statements and confirmations are maintained at the principal place of business for the appropriate time that is required by law. After such time, the documentation may be moved off site to a secure facility where both client and firm confidentially can be assured.

Copies of all client information shall be kept at a secure off-site location. If it is not practical to keep paper copies, electronic facsimiles may be kept in a format that is easily retrievable, i.e. PDF, tif, gif, etc., and in a timely manner.

Semi-annually, the Chief Compliance Officer will review these disaster recovery plans pertaining to our clients records to assure that these records will be adequately maintained in the event of a disaster or emergency.

COMMUNICATION WITH CLIENTS

Upon the declaration of an emergency, where normal lines of communication are no longer available, all personnel will attempt to communicate with their clients via any means available. Each advisory representative will maintain a list of their current clients that includes all known contact numbers (home, work, cell phone, pager number and e-mail addresses). If the advisory representative is unable to contact their clients they shall report the situation to the Administrative Assistant. Upon notification he/she will attempt to contact the client and will keep a log of each attempt and each client contacted.

PREPAREDNESS OF VENDORS AND CUSTODIAN

The President will request copies from all critical vendors and custodians of their Disaster Recovery Plan or a confirmation from such vendors or custodian that a plan exists and is current and has been tested. The Chief Compliance Officer will maintain a log of all vendors and custodians and their emergency contact numbers. Such list shall be reviewed semi-annually.

The Chief Compliance Officer will discuss vendors and custodians' preparedness with the principals of the firm in the event he is not satisfied that any such vendor or custodian is adequately prepared for an emergency. If the President is not satisfied he/she should contact the vendor or custodian and discuss any concerns relative to the plan that he/she may have. Such conversations will be documented and kept in a vendor and custodian file.

NOTIFICATION OF CLIENTS OF THE FIRMS DISASTER RECOVERY POLICIES

An advisor will notify each client of the disaster preparedness plan upon the opening of their account and annually thereafter. The notification will contain contact numbers (such as telephone numbers, Internet address, pager numbers, etc.) that may be used by the client to reach someone at RELiANCE Investing in case of an emergency. A record of such notification will be kept in the client correspondence file.

If key personal are unable to carry out their usual duties, the notification will contain the telephone number and a contact person at the custodian firm that will assist the client.

Senior Manager Approval

Signed: _____

Date: _____