



AE FINANCIAL
SERVICES

Business Continuity Plan Disclosure

OVERVIEW

AE Financial Services, LLC, otherwise referred to as “AEFS”, has developed a Business Continuity Plan (“BCP”) as a contingency to mitigate any impact of possible future business interruptions. In our BCP, we outline how we continue to conduct business in the event of a Significant Business Disruption (“SBD”). AEFS plans to quickly recover and resume business operations should there be an SBD and respond by safeguarding employees’ lives and firm property, making a financial and operational assessment, protecting the firm’s books and records, and allowing our clients to transact business.

CONTACT INFORMATION

Our Headquarters is located at: AE Financial Services, LLC, 2950 SW McClure Road Suite #B, Topeka, KS 66614. Our main number is 866.363.9595. If after a significant business disruption, you cannot contact us as you usually do, you should contact your personal investment professional directly, or may go to our website at <https://ae-fs.com/> to obtain alternative contact information if available.

BUSINESS CONTINUITY PLAN

Our Business Continuity Plan addresses data backup and recovery, all mission critical systems, financial and operational assessments; alternative communication with our clients, employees, regulators; alternative physical locations of employees, critical suppliers, contractors, banks and counterparty impact; regulatory reporting and assuring clients of prompt access to their funds and securities if we are unable to continue business due to an SBD. Our clearing firm, National Financial Services, LLC backs up its important records in a geographically separate area.

DISCLAIMER

Our firm’s BCP is designed to meet our existing obligations to clients in the event of an emergency or significant business disruption; however, it is not infallible. The unpredictable nature of some events may make it impossible to anticipate every scenario that could cause a business disruption. Although we are confident in our own preparedness, AEFS has no control over the third-party entities that we must rely upon in the event of an emergency. We test our Business Continuity Plan from time to time to ensure our readiness; yet these tests may not replicate conditions we would experience in a real emergency. Our BCP is subject to change without notice. This is provided to you for informational purposes only.

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Securities offered through AE Financial Services, LLC Member FINRA/SIPC