



## **BUSINESS CONTINUITY PLAN SUMMARY DISCLOSURE STATEMENT**

NMS CAPITAL ADVISORS, LLC ("NMS"), pursuant to Financial Industry Regulatory Authority, Inc. ("FINRA") rules, has created a Business Continuity Plan, to address and guide our response to and recovery from Significant Business Disruptions ("SBDs"). Copies of this Summary Disclosure Statement shall be given to all clients at the time they open their accounts with NMS. NMS's Business Continuity Plan is subject to modification and an updated summary will be promptly mailed to our clients. Clients may obtain updated summaries by requesting a written copy by mail, email or fax.

In all of the following scenarios, NMS plans to continue business and our planned recovery time, depending upon the time of occurrence, should not exceed 24 hours from the time of the declaration of the SBD. Staff, telephone calls, and e-mails will return to their original location upon full restoration of service.

### **Disruption to a single building or our Firm's main office**

If a disruption occurs at our main office located at 433 N. Camden Drive, Suite 400, Beverly Hills, CA 90210, we will relocate to an alternate site listed in our Business Continuity Plan and forward calls to that site. NMS will have access to its clearing firm and its services at this alternate location.

### **Disruption to a business district**

If a disruption occurs in our business district affecting our main office we will again follow the scenario above. The alternate location is outside the business district.

### **City-wide business disruption**

If a disruption occurs in our city-wide area that affects our main office we will follow the scenario above with respect to the forwarding of our company phone, and will attempt to gain access to our clearing firms and their services from a location outside the city-wide area. Clearing firm access via the internet is sufficient to conduct client business.

### **Regional disruption**

If a regional disruption occurs that affects our main office we will contact our clearing firms and decide mutually on how best to proceed. NMS clears its business through COR Clearing LLC ("COR"), 1200 Landmark Center, Suite 800, Omaha, NE 68102, (402) 384-6100.

As a client of NMS you have access to your account information via COR's web site and in the case of a regional business disruption where you cannot contact NMS, you may contact COR directly in order to conduct a securities transaction. During a regional disruption we ask that you show prudence, common sense and regard for your own personal safety.

NMS has also contracted with various entities, including COR to insure that sensitive information is made redundant at back-up facilities. However, due to the nature of such information we do not disclose the specific location of any back-up facilities, any proprietary information contained in our Business Continuity Plan or the parties with whom we have back-up arrangements.

Please call us should you have any questions at 310-855-0020.