

Bley Investment Group, Inc.’s

Business Recovery Continuity Planning

Bley Investment Group, Inc. has developed a Business Recovery Continuity Plan on how we will respond to events that significantly disrupt our business. 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 business recovery continuity plan.

Contacting Us – If after a **significant** business disruption (SBD), you cannot contact us as you usually do at 817-732-2442, you should go to our website at www.bleyinvestments.com or send us a fax at 817-732-5997. Bley Investment Group, Inc. maintains a relationship with Saxony Securities, Inc. and our clearing firm, Pershing, LLC. We fully introduce your accounts to Pershing, LLC. as they maintain your assets and settle your transactions on your behalf. In the event that you are unable to contact Bley Investment Group, Inc. due to an SBD, Pershing may be contacted directly to process limited trade-related transactions, cash disbursements, and security transfers. Instructions to Pershing must be in writing and transmitted via facsimile or postal service as follows:

Pershing, LLC
P.O. Box 2065
Jersey City, NJ 07303-2065
Fax (201) 413-5368

Pershing has provided the following alternate phone number (201) 413-3635, where it can be reached in the event that Pershing needs to execute its business continuity strategy.

Our Business Recovery Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our Firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within 24 – 48 hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within 24 – 48 hours. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you on how to contact us through our website www.bleyinvestments.com, by email or through a recording on our main phone number for the firm at 817-732-2442.

For more information – If you have questions about our business continuity planning, you can contact our compliance department at 315-794-9863 or by writing us at the following address:

Bley Investment Group, Inc.
Attn: Compliance – Business Continuity Request
6300 Ridglea Place #615
Fort Worth, TX 76116