

Business Continuity Plan

Pursuant to NASD Rule 3510, Amegy Investments, Inc. (“All”) maintains a business continuity plan to address interruptions to our normal course of business. This plan is reviewed annually and updated as necessary. The plan outlines the actions All will take in the event of a building, city-wide or regional incident, including relocating personnel to pre-assigned alternate regional facilities. 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.

If after a significant business disruption you cannot contact us as you usually do by calling your Registered Representative directly, please call Amegy Investments Customer Service at 1-800-876-2185. If you cannot access us through either of these means, you should contact our clearing firm, Pershing LLC, by visiting their website at <http://www.pershing.com/> for instructions on how they may provide prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions for you.

Our clearing firm, Pershing LLC, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, our clearing firm has advised us that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 24 to 48 hours. Your orders and requests for funds and securities could be delayed during this period.

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.

If you have questions about our business continuity plan, please contact your Registered Representative or Customer Service.

Amegy
Investments, Inc.