

## Huntington Financial Advisors (HFA) Business Continuity Planning

Huntington Financial Advisors (HFA) has developed a Business Continuity Plan on how we will respond to events that significantly disrupt the business of HFA. Since the timing and impact of disasters and disruptions are 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 continuity plan.

### **Contacting Us -**

If after a significant business disruption (SBD) you are unable to contact HFA as you usually do at (800) 322-4600:

**Go to our web site at [www.Huntington.com](http://www.Huntington.com) (click on Personal\Investments).**

If you are unable to contact HFA and are an HFA client who does not have an account through National Financial Services, LLC (NFS), you will need to contact your Mutual Fund Company, your Insurance Company, and/or your Program Sponsor directly (i.e. AIM, John Hancock, Transamerica, Wells, etc.).

If you are unable to contact HFA through either of those means and you are an HFA client who has an account through our clearing firm, National Financial Services, LLC (NFS), you will need to contact NFS by calling the telephone number listed on the back of your NFS account statement.

### **Our Business 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 clients 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.

Our business continuity plan addresses: data back-up and recovery; mission critical systems; financial and operational assessments; alternative communications with clients, employees and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our clients prompt access to their funds and securities if we are unable to continue our business.

For clients who do not have accounts with NFS, it is the responsibility of your Mutual Fund Company, your Insurance Company, and/ or your Program Sponsor to back-up and restore important records.




When applicable, our clearing firm, NFS, backs up our important records in geographically separate areas. While every emergency situation poses unique challenges based on external factors, NFS has developed plans that include the ability to recover from situations including, but not limited to, unplanned evacuations, power outages, major water leaks, fire, loss of water, severe weather, and any facilities failures that may cause business interruptions. Plans are designed to account for business interruptions of various lengths and scopes and require that NFS is able to recover critical functions according to their time criticality.

### **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 twenty-four (24) to forty-eight (48) hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a different office location outside of the affected area and recover and resume business within one business day. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our clients' prompt access to their funds and securities.

**For more information -**

If you have questions about our business continuity planning, you can contact us at (800) 322-4600 or [investmentclientservices@huntington.com](mailto:investmentclientservices@huntington.com).

®,  Huntington®, and  Huntington Financial Advisors® are federally registered service marks of Huntington Bancshares Incorporated.

Huntington Financial Advisors® is a federally registered service mark and a trade name under which The Huntington Investment Company offers securities and insurance products and services. The Huntington Investment Company is a registered broker-dealer, member FINRA and SIPC, and a registered investment advisor with the U.S. Securities and Exchange Commission (SEC). The Huntington Investment Company is a wholly-owned subsidiary of Huntington Bancshares Incorporated.

**Investment and Insurance products are: NOT A DEPOSIT • NOT FDIC INSURED • NOT GUARANTEED BY THE BANK • NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY • MAY LOSE VALUE**

7075287.1/7075257.1 (10/2024)