

**NORTHERN LIGHTS DISTRIBUTORS, LLC
DISASTER RECOVERY &
BUSINESS CONTINUITY PLAN
DISCLOSURE STATEMENT**

SUMMARY

In accordance with FINRA Rule 4370, applicable to member firms of the Financial Industry Regulatory Authority, Inc. (“FINRA”), Northern Lights Distributors, LLC (“NLD”) is providing you with the following disclosure statement that describes in general how NLD will respond to events that significantly disrupt its business. NLD is a wholly owned subsidiary of The Ultimus Group Midco, LLC who also owns Ultimus Fund Solutions, LLC (“UFS”). UFS maintains a combined Business Continuity Plan (“BCP”) for each of its subsidiaries providing a course of action for the assessment of a significant disruption to its business and for the continuation of business following such an event. The BCP consists of company-wide policies and procedures outlining the responsibilities of key personnel in the event of a significant business disruption. These policies also place ultimate decision making on the Executive Management Team of UFS (the “EMT”). In the event of a significant business disruption, the EMT oversees the re-establishment and continuation of business processes pursuant to the BCP.

SIGNIFICANT BUSINESS DISRUPTIONS

The BCP is designed to address significant business disruptions of varying scope including, but not limited to:

- Business disruption to NLD, UFS or any of its affiliates;
- Disruption to a single building in which NLD, UFS or any of its affiliates’ business is conducted;
- Disruption to a business district in which NLD, UFS or any of its affiliates’ business is conducted;
- City-wide business disruption; and
- Regional disruption.

In each of these scenarios, UFS’s BCP provides for an evaluation of the scope of the business disruption, and sets forth various plans of action and back-up facilities for the continuation of the company’s business, as well as alternative means for the dissemination of information to employees and underwriting clients. The BCP serves as a guide that addresses how UFS will continue to conduct business during a significant business disruption pursuant to the EMT’s evaluation.

RECOVERY PROCEDURES

The BCP defines the critical resources needed to re-convene and maintain business operations following a significant business disruption and details how those critical resources will be implemented. The critical resources relied upon include:

- Communication capabilities
- Utility service
- Data and information services
- Operational services
- Alternate workspace
- Insurance

The BCP outlines who will be responsible for each of the critical resources and how they will be implemented. The BCP also sets forth procedures in the event of a pandemic.

In the event business must be resumed at an alternate facility, the BCP dictates a plan for the resumption and processing of all mission critical functions at such location including staff, records and data, technical infrastructure and communications with all underwriting clients, critical business constituents and regulators. In preparation for such contingencies, NLD provides and up-dates emergency contact information for two of its executive personnel with FINRA.

MISSION CRITICAL SYSTEMS

We consider our mission-critical systems to be those business functions and all supporting staff, facilities, data, documents, and technical infrastructure that support our underwriting clients and our registered representatives.