

MSEC, LLC Business Continuity Plan Summary

MSEC, LLC (“MSEC”) is committed to its Business Continuity Plan that has been developed along with its affiliated, registered investment advisor, Mariner, LLC dba Mariner Wealth Advisors. The Business Continuity Plan is designed to minimize the effects of any significant business disruption and associated impacts and enable critical operations to resume quickly in the event such a disruption occurs. Since the timing and extent of significant business disruptions are by nature unpredictable, we have developed a flexible plan that will enable us to respond to actual events appropriately.

Contacting Us

If your Wealth Advisor’s branch office experiences a business disruption, please contact MSEC/Mariner Wealth Advisors headquarters at 844-367-8990. If MSEC is unable to be contacted at this number, further updates will be posted to the MSEC Disclosures page on the Mariner Wealth Advisors website at www.marinerwealthadvisors.com/msec-llc-disclosures.

Our Plan

Our first objective, should a business disruption occur, is safeguarding our employees and property so that we can quickly recover and resume business. Other objectives include assessing operations, protecting records and meeting our investors’ service and investment needs. Specifically, our plan addresses:

- Data backup and recovery;
- Mission-critical systems;
- Financial and operational assessments;
- Alternative communications with customers, employees and regulators;
- Regulatory reporting;
- Alternate physical location of critical employees;
- Critical contractor, banks and counter-party impact; and
- Providing our customers prompt access to their funds and securities if we were unable to continue our business.

MSEC’s staff have the capability to work remotely by connecting to the firm’s network from other remote locations including their homes.

Customers’ Access to Funds and Securities

MSEC does not maintain custody of customers’ funds or securities. Generally, funds and securities are held either at our clearing firm, National Financial Services, LLC (“NFS”) or directly at a product sponsor. Certain institutional customers may conduct business with MSEC solely on a DVP/RVP basis.

NFS maintains a business continuity plan as required by FINRA Rule 4370. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operation and be able to complete existing transactions and accept new transactions and payments with minimal down time. Your orders and requests for funds and securities could be delayed during this period.

If your account is held directly with a 529 savings plan, mutual fund or variable insurance company, you may contact them directly at the telephone number listed on your account statement.

If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers prompt access to their funds and securities.