



LARA, SHULL & MAY, LLC

BUSINESS CONTINUITY PLAN NOTIFICATION

It is a goal of Lara, Shull and May, LLC to provide our customers with an expected high level of service no matter what disruption the firm may be experiencing. Lara, Shull & May, LLC has developed a business continuity plan (“BCP”), per FINRA Rule 3510, to 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 continuity plan and have highlighted its primary aspects.

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 customers to transact business. In short, our BCP is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our BCP addresses: data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical locations of employees; critical suppliers, contractors, bank and custodial impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our primary clearing firm, RBC Correspondent Services, stores our important electronic records in a geographically separate area. We also have offsite back up of electronic files and offsite local storage of historical records and documents. 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 operations and be able to complete existing transactions and accept new transactions and payments as soon as possible. Your orders and requests for funds and securities could be delayed during this period.

Contacting Us – If, after a significant business disruption, you cannot contact us as by calling the Virginia number at 1-800-842-8834, please refer to our web site at www.lsmfinancial.com. On the Home Page Announcements we will make every attempt to convey what disruption we are experiencing, the status, and provide instructions for our clients. If possible, the main number greeting will provide instructions as well. If the Virginia or Texas offices are unable to operate, we will direct business operations from the Frisco, Colorado office at 610 E. Main Street, Suite 13, Frisco, CO 80443 Main Office: 970-668-5700 Toll-Free 877-543-5444, Fax 970-668-5701. If the Frisco office is unable to operate, business will be conducted out of the Virginia and/or Austin, TX offices.

If your business request is urgent, for example: provide prompt access to funds and securities, place orders and process other trade-related cash and security transfer transactions - and you cannot contact us thru either the TX, VA or CO offices - you should contact the custodian of your account directly. Your accounts are not held by Lara, Shull & May, LLC. For example, if you have accounts held at RBC Correspondent Services, Morningstar, SEI, Charles Schwab, and Fidelity or at individual mutual fund companies, you should contact the Customer Service number of the respective custodian.

Alternate Office Location

610 E. Main Street, Suite 13, Frisco, CO 80443 Main Office: 970-668-5700 Toll-Free 877-543-5444

If you have questions please contact us at 703-827-2300 or email information@lsmfinancial.com.

E. Ronald Lara, CFP®
CEO

Frank T. Shull, IV
President