

VERITY INVESTMENTS, INC.

Business Continuity Plan

(Amended 9/30/2023)



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I. EMERGENCY CONTACT PERSONS

The Firm's two emergency contact persons are:

Gordon T. Wegwart

President and Chief Compliance Officer

Amy L. Simonson

Vice President for Operations and Finance

These names will be updated in the event of a material change, and the firm's Executive Representative (Gordon T. Wegwart) will review them for accuracy within 17 business days of the end of each calendar quarter. Only Gordon T. Wegwart and Amy L. Simonson maintain the password that grants access to the FINRA Contact System for this purpose.

II. FIRM POLICY

The Firm's policy is to respond to a significant business disruption by safeguarding employees' lives and Firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting the Firm's books and records, and allowing customers to transact business. It is the Firm's intent to continue to conduct business in the event of a business disruption; however, circumstances may render the continuity of normal operations impracticable. If the Firm is unable to continue business operations, clients will continue to have direct access to their funds and securities via their respective mutual fund, variable annuity, and direct participation program issuers.

A. Significant Business Disruptions (SBDs)

This plan anticipates two kinds of significant business disruptions, internal and external. Internal significant business disruptions affect only The Firm's ability to communicate and do business, such as a fire in the building. External significant business disruptions prevent the operation of the securities markets or several firms, such as a terrorist attack, a city flood, a pandemic, or a wide-scale, regional disruption. The Firm's response to both types of significant business disruptions may rely heavily on other organizations and systems, especially the capabilities of custodian(s) or the issuers of securities products.

B. Approval and Review

Gordon T. Wegwart, Chief Compliance Officer and a registered principal, is responsible for approving the plan and for conducting the required annual review.

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C. Plan Location and Access

The Firm will maintain physical copies of its current Business Continuity Plan (BCP) and all prior versions for a period of at least five years, along with the results of annual reviews. An electronic copy of the plan is located on the “Advisor Workplace” section of the website for access by all internal personnel and on an internal server. Additionally, the plan is stored in the Firm’s Compliance platform hosted by MyComplianceOffice (MCO).

D. Disaster Recovery

The Firm’s disaster recovery and business continuity plans use work from home as integral to its ability to continue to serve its clients. Employees are provided with technological solutions to facilitate efficient and seamless transition to and from the office to work from home.

Employees already telework one or more days each week during normal times. In the event employees are not able to enter the office building, all employees are able to work from home with little loss of productivity or the ability to communicate with each other and any clients.

The Firm uses a combination of cross training and procedural documentation to ensure the continuity of the various critical and functional business processes in the event of a loss of a principal or subject matter expert. Designated backup personnel have access to these records and will be tasked with their respective responsibilities immediately, including the supervising of employees.

Most of the Firm’s products and services are accessed over the internet and will function regardless of any temporary disruption. The Firm uses a variety of software applications. Depending on the application, this software resides in either the public cloud or a private cloud and is available to Firm employees both in the office and away from the office. All data is backed up as per the section below.

Cyber security is a serious risk and is pervasive across all industries. The Firm utilizes modern versions of software and diligently applies security updates as soon as possible after they are released. The Firm employs appropriate firewalls and virus protection software and has taken steps to segregate and protect data within the Firm’s network. The Firm also uses periodic online training to educate employees and associated persons on cyber threats and best practices to mitigate the risk of intrusions and data breaches.

III. BUSINESS DESCRIPTION

The Firm sells mutual funds, variable annuities, and direct participation programs on an application way basis. The Firm does not hold customer funds or securities. The issuers of the securities maintain the customers’ accounts, communicate directly with customers via

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account statements and other means, provide customers access to their account information, and deliver funds and securities.

IV. OFFICE LOCATIONS

The Firm's offices are in the following locations:

Please note that all locations accept written applications for securities.

A. Durham, NC

The Firm's home office is located at:
280 S MANGUM ST STE 550
DURHAM NC 27701-3683
Phone 919-490-6717

B. Mesa, AZ

The Firm's Mesa office is located at:
1910 S STAPLEY DR STE 221
MESA, AZ 85204-6680
Phone 480-770-5496

C. Oakdale, CA I

The Firm's Oakdale I office is located at:
210 S SIERRA AVE STE 106
OAKDALE CA 95361-4212
Phone 916-719-6644

D. Oakdale, CA II

The Firm's Oakdale II office is located at:
213 S SIERRA AVE
OAKDALE CA 95361-4013
Phone 209-322-1878

E. Englewood, CO

The Firm's Englewood office is located at:
10303 E DRY CREEK RD
ENGLEWOOD, CO 80112-1580
Phone 303-221-3639

F. Gunnison, CO

The Firm's Gunnison office is located at:
100 E GOTHIC AVE
GUNNISON, CO 81230-2216
Phone 970-641-6900

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G. Carrboro, NC

The Firm's Carrboro office is located at:
205 HILLSBOROUGH RD
CARRBORO NC 27510-1333
Phone 919-942-2428

H. Wilmington, NC

The Firm's Wilmington office is located at:
701 N 4TH ST
WILMINGTON NC 28401-3415
Phone 910-262-6203

I. Ronkonkoma, NY

The Firm's Ronkonkoma office is located at:
3075 VETERANS MEMORIAL HWY STE 130
RONKONKOMA NY 11779-7600
Phone 631-605-8400

J. Draper, UT

The Firm's Draper office is located at:
1111 E DRAPER PKWY STE 310
DRAPER, UT 84020-9090
Phone 801-568-0614

K. Blacksburg, VA

The Firm's Blacksburg office is located at:
119 CHURCH ST NE # 100
BLACKSBURG VA 24060-3922
Phone 540-443-3612

V. ALTERNATIVE PHYSICAL LOCATION(S) OF EMPLOYEES

In the event of a significant business disruption, the Firm may move critical staff from affected offices to one of the closest unaffected office locations. Alternatively, or if none of the other office locations is best equipped to receive those staff, the Firm may move operations on a temporary basis to:

1828 SPRING OVERLOOK LN
HILLSBOROUGH, NC 27278-0530
Phone 919-493-6253

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The Firm may choose to move to another location appropriately located and equipped with phone and internet service and effectively continue operations. If needed, the Firm will then promptly locate alternate office space until such time as the permanent office location is again operational.

Additionally, nearly the entire staff is equipped to operate with close to full efficiency and connectivity from home or other remote locations, so there is considerable flexibility in response to a variety of specific conditions.

In the event the Firm must temporarily vacate the main office, the Firm will monitor conditions at the main location in the American Tobacco Campus (ATC) in Durham, N.C. by periodically contacting ATC Security at 919-433-1567.

VI. CUSTOMERS ACCESS TO FUNDS AND SECURITIES

The Firm does not maintain custody of customers' funds or securities. Custody is maintained by the issuers. If the Firm is unable to continue business, clients will continue to have direct access to their funds and securities via the respective mutual fund, variable annuity, and direct participation program issuers. During a significant business disruption, if phone service is available, Firm registered persons will be able to communicate with customers and forward instructions to the respective custodians on their behalf or refer customers directly to the customer service lines of the custodians as may be appropriate. If web access is available, the Firm will post on the website alternate contact information along with the fact that customers may access their funds and securities by contacting their respective custodians. The Firm also makes this information available to customers through its disclosure policy.

VII. DATA BACK-UP AND RECOVERY (HARD COPY AND ELECTRONIC)

The Firm maintains its primary hard copy books and records at the home office at:

280 S MANGUM ST STE 550
DURHAM NC 27701-3683
Phone 800-247-6717

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Additionally, the Firm has executed industry arrangements for certain books and records to be stored with the following third-party vendors: ReadyDoc LLC, Docupace Technologies LLC, MyComplianceOffice Ltd, Smarsh, Inc., and Global Relay Communications Inc.

Amy L. Simonson, Vice President for Operations and Finance and Jeffrey A. Munsey, Vice President and CIO, are responsible for the maintenance of these books and records.

The Firm backs up its records, consisting of client account applications and servicing documents, by scanning (if received in paper format) or importing electronic records into an online document management system called ReadyDoc. Jeffrey A Munsey is responsible for the maintenance of these back-up books and records.

The Firm backs up its server daily using VEEAM Backup and Replication software. Note: The Firm performs full server backups as opposed to file-based backup. The backups are sent to a locally managed enclosed storage array using RAID 5 which allows a single drive failure to be easily swapped out and replaced. The backups are encrypted with AES-256. The encrypted daily backups are transmitted offsite to Droege Computing Servers where 7 days of backups are stored. All internal server drives are set up with RAID so that all data is written to 2 drives. Should an internal drive fail, the system can run from the internal backup RAID drive. Should a double fault scenario occur in which multiple internal drives are impacted, the recovery time would be less than a day.

Duplicate copies of all customer account records, if needed, are available through the respective issuers.

In the event of an internal or external signification business disruption that causes the loss of paper records, the Firm will access the electronic records from the cloud-based document repository.

For the loss of electronic records, the Firm will either physically recover the storage media or electronically recover data from the back-up.

All records will be maintained for a minimum of six years, the first two years in an easily accessible place.

VIII. FINANCIAL AND OPERATIONAL ASSESSMENTS

A. Operational Risk

In the event of a significant business disruption, the Firm will immediately identify what means will permit communication with its customers, employees, critical business constituents, banks, critical counterparties, and regulators. In the event of a technical

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failure of the primary phone system, the service provider can invoke a “remote call forwarding” feature to forward incoming calls to either an alternate business location or to a designated cell phone. Incoming faxes are handled via eFax and are therefore accessible from any location. Corporate email is hosted externally with Microsoft Office 365 Business Essentials. The email is archived with Global Relay. All emails and archived emails can be accessed directly by the host provider via internet connection. The Firm will retrieve any additional records as described in the section above, Data Backup and Recovery (Hard Copy and Electronic). Client accounts and order entry capabilities at the custodian(s) are all accessible over the internet, or, if necessary, by phone. If needed, physical mail and express mail delivery can be directed to an alternate location.

B. Financial and Credit Risk

In the event of a significant business disruption, the Firm will determine the value and liquidity of its assets to evaluate its ability to continue to fund operations. The Firm will contact its insurance carriers with claims, where applicable, its banks and investors to apprise them of the financial status, and if it is determined that the Firm may be unable to meet its obligations to those counterparties or otherwise continue to fund its operations, the Firm will request additional financing from the bank or other credit sources to fulfill its obligations to the clients. If the Firm cannot remedy a capital deficiency, it will file appropriate notices with the regulators and immediately take appropriate steps, including notification to customers.

IX. MISSION-CRITICAL SYSTEMS

The Firm’s “mission-critical systems” are those that ensure prompt and accurate processing of securities transactions. While the Firm has primary responsibility for establishing and maintaining business relationships with its customers, the Firm has sole responsibility for taking written applications for securities. The issuers provide, through contract, the execution, comparison, allocation, clearance and settlement of securities transactions, the maintenance of customer accounts, access to customer accounts, delivery of customer account statements, and the delivery of funds and securities.

A. Firm Mission-Critical Systems

Currently, the Firm receives written applications from customers in-person, electronically, and by physical mail. During a significant business disruption, the Firm will continue to take applications through any of these methods and, as communications permit, will inform customers of any alternatives by postings on the Verity website and messages on the phone system. To the extent feasible, the Firm will also attempt to communicate with

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clients via email. If the phone service provider is operational, it will be instructed to activate the “remote call forwarding” feature to forward incoming calls to an alternate number (either an alternate office location or a cell phone) where clients and others may leave messages for or communicate directly with company representatives. If necessary, the Firm will advise its customers to forward applications directly to the respective issuers or custodians.

The following systems are mission-critical systems:

1. Telephone Systems:

Phone System: Digium Switchvox310 Appliance

Backup System: Cellular phones (Verizon Wireless)

The Digium Switchvox is a locally managed VOIP phone system that utilizes BCM One for its SIP trunks. This service rides over a 100M fiber circuit provided by CenturyLink. If the phone system fails, “remote call forwarding” will be used to route incoming calls to a designated cellular telephone number.

2. Computer Systems for Internal Operations

MICROSOFT NETWORK

Windows Server 2016 Standard:

Server configuration / components / software

Running HyperV with 3 virtual machines (Verity0, Verity2, RDServer)

All virtual machines have RAID mirrored hard drives

HyperV Virtual Machine Manager

Veeam Backup

Verity0 Virtual Machine

Active Directory Domain Services

Terminal Server

File Server

Web Services (IIS)

Peachtree Accounting

Verity2 Virtual Machine

Web Services (IIS)

Middleware

Security Server

Remote Desktop gateway (DUO)

RD Server Virtual Machine

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Remote Desktop Services

All Virtual Machines on Raid 10

Veeam Backup Server

Windows10 /7 Professional Desktop Operating Systems

Internet / Firewall

Watchguard M370 (primary router)

Watchguard XTM330 (backup & internet browsing risk mgmt.)

CenturyLink (primary internet connection and phone service)

TimeWarner (backup internet connection)

Back-up Power

APC Smart-UPS 3000XL

Back-up Enclosure

RocketRAID 2681

4 x 3TB Toshiba Drives

Raid 5 configuration

Hot Swappable

The Firm's backup system performs full server backups using incrementals each evening at 8:00pm. The backups are encrypted and transferred to Droege Computing which supports 7 days of storage.

The Firm's information systems are designed, built, and supported by internal staff and external network support personnel. Issues with the systems can be resolved generally within one business day.

Access to the server is secured by user ID and password.

All workstations have similar hardware (PC based) and software (Windows). Critical Workstations have SSD drives to reduce probability of a hard drive failure incident. In case of a user workstation failure, the Firm has additional "low use" computers that could be redeployed to meet an urgent need.

B. Mission-critical Systems Provided by Issuers and Custodians

The Firm relies, by contract, on issuers to provide order entry, order execution, order comparison, order allocation, and the maintenance of customer accounts, delivery of funds and securities, and access to customer accounts. Mutual fund and variable annuity issuers are similarly required, under SEC and FINRA regulations, to maintain Business Continuity

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Plans which 1) provide for these same contingencies as they relate to their unique responsibilities for mission-critical systems and 2) that they maintain BCPs reasonably designed to assure their ability to deal with significant business disruptions.

Although there are certain mission-critical systems which are impossible to implement in the absence of these issuers, including but not limited to order entry, order execution, and delivery of funds and securities, the Firm endeavors, to the extent feasible, to maintain accurate customer account records and will provide access to those records by customers in the event of a significant business disruption affecting one of the issuers. For mutual funds and variable annuities, this will consist of weekly downloads of transaction and valuation data into the Firm's customer account maintenance software and/or copies of quarterly statements. For direct participation programs, this will consist of records of all investments and distributions.

A list of contact information for select issuers is contained in Attachment A.

X. ALTERNATE COMMUNICATIONS BETWEEN THE FIRM AND CUSTOMERS, EMPLOYEES, AND REGULATORS

A. Customers

The Firm communicates with its customers using the phone, email, the Verity website, fax, U.S. mail, and in-person visits at the main office, branch offices, or the customer's location. In the event of a significant business disruption, the Firm will assess which means of communication are still available and use the means closest in speed to that which is used under normal circumstances.

B. Employees

The Firm communicates with its employees using the phone, email, the website, and in-person. In the event of a significant business disruption, the Firm will assess which means of communication are still available and use the means closest in speed to that which is used under normal circumstances. The Firm will also employ a call tree so that senior management can reach all employees quickly during a significant business disruption. The call tree is exhibited below. All contact information, including addresses and phone numbers, are contained in Attachment B. This information is available to each employee, and they are instructed to store the roster in a secure, off-site location.

The person to invoke use of the call tree is Amy L. Simonson. If Ms. Simonson or any other

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assigned caller is unavailable, a member of senior management will reallocate the affected recipients.

Caller	Call Recipients	
Al Otto	Jae Di Lorenzo	Robert McLean
Amy Simonson	Bill Hopwood Jeffrey Munsey Karina Mejia Michael Hazen	Bekah Simpson Gloria Solano Gordon Wegwart Sean McGill
Bill Hopwood	Amy Lindros Kurt Preble	Gretchen Stroemer Lorren Bryant
Daniel Krause	John Davis Erik NeVille Eric Anderson Luciun Lovick Vickie Mach Frederick Osmond Conrad Walker KC Trace Gary D'Alessio	Stephanie Vejar David Cox Galen Wildeman Nickolas Moes W. Scott Barnes Clayton Fillian Paul Collier Randy Olfers Eric Rowden
Erik Neville	Beatriz Cisneros-Piz Krystal Vargas	Janet Nunez Stacy Cisneros
Greg Komsky	Heather Baker	
Gordon Wegwart	Al Otto Amy Simonson Brad Corbett Brian Kurtzer Malcolm Trevillian	Neal Huggins Steve Lewis Sujatha Avutu Troy Dryer
Jeffrey Munsey	Alexander Munsey Dean Jackson Mike DeCamillis	Peter Hynes Peter Klas
Lorren Bryant	Greg Herman-Giddens	Linda Noblit
Neal Huggins	Chris Bolles	Mike Timofeeff
Ray Menna	Jackie Menna Rachel Menna	Richard Cecchi Sarah Baldassari
Ron Gibbs	John Rudd	
Sean McGill	Jeffrey Potter Daniel Krause Ellen Bailey Gianna Campo Greg Komsky	Joselyn Sicuro Kurt Hollar Ray Menna Ronald Gibbs William Durham
William Durham	Christopher Harrison	Ron Somers

Verity Investments, Inc.*Business Continuity Plan***C. Regulators**

The Firm is subject to regulation by the SEC, FINRA, the MSRB, and various state authorities. The Firm communicates with the regulators using the phone, email, fax, U.S. mail, and in-person. The Firm files reports using paper copies in the U.S. mail, and electronically using fax, email, and the internet. Access to automated regulatory reporting systems can be gained from any computer that has internet access. In the event of a significant business disruption, The Firm will check with the regulatory agencies to determine and utilize which means of communication and filing are still available. Regulatory contact information, including system login information, is contained in Attachment C.

XI. SUBSTITUTION OF KEY PERSONNEL

In the event that one or more key personnel are not available to act in their normal capacity as a result of a business disruption or other event, the following substations of roles may be implemented:

President	Amy Simonson or Jeff Munsey
Financial Operations	Jeff Munsey
General Operations	Jeff Munsey
Sales Management	Gordon Wegwart
Chief Compliance Officer	Michael Hazen
AML Compliance Officer	Michael Hazen
Chief Information Officer	Amy Simonson

XII. CRITICAL BUSINESS CONSTITUENTS, BANKS, AND COUNTERPARTIES**A. Business constituents**

The Firm has critical business constituents (businesses with which the Firm has an ongoing commercial relationship in support of its operating activities) and can continue its business relationship with them in case of an internal or external significant business disruption. The Firm will work to quickly establish alternative arrangements if a business constituent can no

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longer provide the needed goods or services when needed due to a significant business disruption:

Advisors Assistant (Client Marketing Systems)

<https://advisorsassistant.com/>
12395 WORLD TRADE DR # 200
SAN DIEGO CA 92128-3743
Phone 800-643-4488

ReadyDoc (Document Storage)

<http://readydoc.com/>
5526 VISTA TERRACE LN
SPARKS NV 89436-7690
Phone 855-879-7323 ext. 701

Droege Computing Services (Hardware Support and Backup Storage)

<http://www.droegecomputing.com/dcsprod.htm/>
20 W COLONY PL STE 120
DURHAM NC 27705-5520
Phone 919-403-9459
Or James Matthews cell 919-451-8966

Global Relay (Email Backup)

<https://www.globalrelay.com/>
121 W WACKER DR 33RD FLOOR
CHICAGO IL 60601-1781
Phone 866-484-6630

CenturyLink (Phone and Internet Service Provider – HQ)

<https://www.centurylink.com/small-business/support/contact-us.html/>
100 CENTURYLINK DR
MONROE LA 71203-2041
Phone 877.726.6875

Microsoft Office 365 (Email Provider)

<https://support.microsoft.com/en-us/>
1 MICROSOFT WAY
REDMOND WA 98052-8300
Phone 425-882-8080
Or 800-865-9408

Citrix Podio (Operational Processes)

<https://workflow-automation.podio.com/>

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120 S WEST ST
RALEIGH NC 27603-1834
Phone 800-441-3453

BCM One (Phone Service – HQ)
<https://www.bcmone.com/>
295 MADISON AVE FL 5
NEW YORK NY 10017-7733
Phone 888-543-2000

Docupace Technologies (Billing)
<https://www.jaccomo.com/>
400 CORPORATE POINTE STE 300
CULVER CITY CA 90230-7620
Phone 310-445-7722

MyComplianceOffice (Compliance Books & Records)
<https://mco.mycomplianceoffice.com/>
535 5TH AVE FL 4
NEW YORK NY 10017-8020
Phone 866-951-2280

Smarsh (Website and Social Media Archiving)
<https://www.smarsh.com/>
851 SW 6TH AVE STE 800
PORTLAND, OR 97204-1322
Phone: 866-762-7741

B. Banks

The Firm maintains a banking relationship with Pinnacle Bank. The primary location with which the Firm conducts business is:

The Durham Branch
<https://www.pnfp.com/>
280 S MANGUM ST STE 140
DURHAM NC 27701-3673
Phone 919-383-4200

In the event of a disruption, the Firm will utilize one of their other branches in various locations in North Carolina including the following:

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The Chapel Hill Farrington Road Branch
5925 FARRINGTON RD
CHAPEL HILL NC 27517-8607
Phone 919-969-2578

The Raleigh Falls of Neuse Branch
4525 FALLS OF NEUSE RD
RALEIGH NC 27609-6203
Phone 919-232-6820

C. Counterparties

The Firm does not currently maintain relationships with any organizations characterized as counterparties, which are required to cooperate with the Firm during a significant business disruption to make alternative arrangements to complete customer transactions as soon as possible.

XIII. DISCLOSURE OF BUSINESS CONTINUITY PLAN

The Firm provides in writing a BCP disclosure statement to customers at account opening. The Firm also posts the disclosure statement on the Verity website and mails it to customers upon request. The current disclosure statement is as follows:

Verity Investments, Inc. maintains a plan designed to assure continuation of business in the event of disruptions of varying severity. Client account records are maintained by the issuers (such as the respective mutual fund companies and annuity companies), and thus account records and customer funds should be accessible in the normal manner from those sources. All internal electronic records, including financial records, are backed up in a secure manner off-site. Should any disruption occur, whether it is confined to our home office or is citywide or regional in scope, Verity intends to resume operations within twenty-four hours. Inbound phone lines will be forwarded to alternate numbers, and email correspondence will be monitored from an alternate location. (You may contact us at compliance@verityinvest.com.) Updated status and contact information will be posted on our web site at <http://verityinvestments.com>. Updates to this summary will be posted on our web site and are available by mail upon request.

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XIV. TRAINING

New personnel are trained as appropriate to their roles during their orientation process. For registered personnel, this is a component of their compliance orientation. Annual training for all personnel will take place as part of the firm's mandatory Annual Compliance Meeting, with content and attendance documented.

XV. TESTING

As previously noted, primary client account records and all client securities are maintained at outside issuers. The Firm relies on these third parties to perform certain functions on its behalf, and the ability to respond to certain business disruptions is partially dependent upon these firms. The Firm's locations and equipment are generally capable of being reconfigured in response to a disruption of business in a manner enabling business continuity until normal functionality is restored. As a result of these factors, the risk level for the Firm's business model is relatively low.

Testing is conducted each year in conjunction with the firm's supervisory control procedures testing, typically conducted in March. Testing is documented, and any corrective action is scheduled by the Chief Compliance Officer. An annual orientation is conducted as part of the firm's Annual Compliance Meeting to assure that all personnel understand and are prepared to implement their respective roles.

XVI. UPDATES AND ANNUAL REVIEW

The Firm will update this plan discretionarily and whenever it has a material change to its operations, structure, business, or location. In addition, the Firm reviews this BCP annually, typically by October 1. Amendments and corrective action identified as part of the testing and review processes are implemented and confirmed under the supervision of the Chief Compliance Officer.

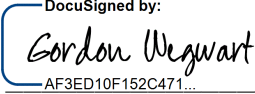
XVII. SENIOR MANAGER APPROVAL

I have approved this Business Continuity Plan as reasonably designed to enable the Firm to meet its obligations to customers in the event of a significant business disruption.

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Rule: FINRA Rule 3510(d).

Signed:  AF3ED10F152C471...

Title: President

Date: 10/13/2023

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APPENDIX

Attachment A – Select Platform Providers (attached)

Attachment B – Employee Phonebook (attached)

Attachment C – Regulatory Authorities (attached)

Platform Providers

AIM Investments

Phone (800) 347-4246

Alliance Bernstein

Phone (800) 227-4618

Allstate Life

Phone (800) 390-1277

American Century

Phone (800) 378-9878

American Funds

Phone (800) 421-9900 1/2

American National Insurance Company

Phone (877) 446-6236 5976

American Skandia

Phone (800) 628-6039

AXA/Equitable

No number

AXOS

Phone (303) 705-6000

BTS

Phone (800) 343-3040

Brighthouse Financial

Phone (888) 243-1932

Calamos Investments

Phone (630) 245-7200

Calvert Funds

Phone (800) 368-2746

CEI The Digital Office

Phone (919) 781-8885

Charles Schwab & Co.

Phone (888) 393-7272

CHET Advisor

No number

Client Marketing Systems, Inc.

Phone (800) 643-4488

Columbia Funds

No number

Diamond Hill

Phone (614) 255-3333

Dreyfus Service Corporation

Phone (516) 338-3300

DST Vision

Phone (800) 435-4112

Federated Investors

Phone (800) 341-7400

Fidelity Advisor Funds

Phone (800) 522-7297

Fidelity FITSCo

Phone (800) 553-4421

FirstEagle Funds

Phone (800) 334-2143

Franklin Templeton

Phone (800) 266-6768

Great American Life

Phone (800) 438-3398

Hartford Life

Phone (800) 862-7155

Hartford Mutual Funds

Phone (888) 843-7824

ING Funds

No number

ING ReliaStar Life Insurance

Phone (800) 235-5965

Invesco Investment Services, Inc.

Phone (800) 959-4246

Ivy Funds

Phone (800) 777-6472

Jackson National Life Insurance Company

Phone (888) 464-7779

Jefferson Pilot Financial

No number

JNL Max

Phone (800) 711-5653 52716

Platform Providers

JNL Perspective II

Phone (800) 711-5653 2716

John Hancock Freedom 529

Phone (866) 222-7498

John Hancock Funds

Phone (800) 225-5291

JP Morgan NY 529

Phone (855) 576-6657

Liberty Funds Distributors

No number

Lincoln Life

Phone (800) 443-8137

Lord Abbett

Phone (800) 821-5121

ManuLife College Savings

Phone (866) 626-8529

Mass Mutual

Phone (800) 343-5629

MetLife

No number

MFS

Phone (800) 343-2829

Midland National

Phone (833) 451-7692

Nationwide

Phone (800) 321-6064

Jarrod Nunn

No number

Nuveen

No number

Oppenheimer Funds

Phone (800) 255-2755

Pacific Life

Phone (800) 722-2333

Pilgrim Funds

Phone (800) 992-0180

Pimco Advisors

Phone (800) 835-3401

Pioneer Services Corporation

Phone (800) 622-0176

Principal Life Insurance

Phone (800) 247-9988

Progressive Life

No number

Protective Life

Phone (800) 866-9933

Prudential Financial

Phone (888) 778-2888

Prudential PGIM Fund

Phone (800) 396-5501

Putnam Investments

Phone (800) 354-2228

Rydex Dist. Inc.

No number

Sammons Financial Network

No number

Scudder Investments

Phone (800) 621-5027

Security Benefit Retirement Plan Services

Phone (800) 747-3942

State Street Research

Phone (800) 233-2089

SUN/AIG America

Phone (816) 218-0519

Symetra Financial

Phone (800) 210-1106

Talcott

Phone (860) 380-3280

TIAA-CREF

Phone (888) 842-0318

Transamerica Annuities

Phone (800) 346-3677

Platform Providers

Transamerica Funds

Phone (800) 551-7555

US Allianz

Phone (800) 624-0197

USAA

No number

VALIC

Phone (877) 202-0187

Valuemark

Phone (800) 624-0197

VanKampen

Phone (800) 421-5666

Western Reserve Life

No number

Phone Book Report

Name	Primary Address	Pr. Number	Phones Type	Contact
A				
Ambrosio, Marisa Employee	Marisa Ambrosio 58 Steven Place Smithtown, NY 11787	<input checked="" type="checkbox"/> (631) 352-7234	Home	Marisa Ambrosio
Anderson, Eric L Employee Advisory Client	Eric L Anderson 12026 Pecan Avenue Waterford, CA 95386	<input checked="" type="checkbox"/> (209) 840-0501 <input type="checkbox"/> (800) 474-1440	Home Business	Eric L Anderson
Artiga, Amanda Employee	Amanda Artiga	<input checked="" type="checkbox"/> (209) 322-1873 <input type="checkbox"/> (800) 474-1440 104	Business Alternate	Amanda Artiga
B				
Bailey, Ellen Employee Advisory Client	Ellen Bailey 3312 Old Saybrook Court Raleigh, NC 27612	<input checked="" type="checkbox"/> (919) 8093424	Home	Ellen Bailey
Baker, Heather Employee		<input checked="" type="checkbox"/> (209) 322-1873	Business	
Bolles, Christopher C Employee	Christopher C Bolles 3010 Rachel Pl Wilmington, NC 28409-2067	<input checked="" type="checkbox"/> (910) 264-5939 <input type="checkbox"/> (910) 452-5275 <input type="checkbox"/> (919) 490-6717 130	Cell Home Business	
Brown, Amy M Employee	Amy M Brown 1413 W 2250 S Woods Cross, UT 84087	<input checked="" type="checkbox"/> (801) 336-0877 <input type="checkbox"/> (385) 243-1410	Home Business	Amy M Brown
Brown, Robert M Employee	Robert M Brown 1413 W 2250 S Woods Cross, UT 84087	<input checked="" type="checkbox"/> (801) 663-9925	Home	
Bryant, CFP, Lorren M Employee Advisory Client	Lorren M. Bryant PO Box 1411 Carrboro, NC 27510	<input checked="" type="checkbox"/> (919) 923-1333 <input type="checkbox"/> (919) 942-2428 <input type="checkbox"/> (800) 247-6717 144	Cell Business Business	
C				
Campo, Gianna Employee	Gianna Campo 2261 Balsan Way Wellington, FL 33414	<input checked="" type="checkbox"/> (941) 323-2124	Home	Gianna Campo
Cecchi, Richard Employee	Richard Cecchi 3075 Veterans Memorial Hwy., Ste. 130 Ronkonkoma, NY 11779	<input checked="" type="checkbox"/> (631) 605-8400 105 <input type="checkbox"/> (631) 943-5739	Business Home	Richard Cecchi
Cisneros, Stacy Employee		<input checked="" type="checkbox"/> (800) 474-1440 1004 <input type="checkbox"/> (209) 841-5048	Business Alternate	
Clark, Heidi K Employee	Heidi K Clark 1594 S 2750 West Syracuse, UT 84075	<input checked="" type="checkbox"/> (801) 710-0516 <input type="checkbox"/> (385) 509-0906 <input type="checkbox"/> (801) 643-3526	Home Business Trusted Contact	Heidi K Clark Chelsea A Jenkins
Corbett, Brad N Employee	Brad N Corbett 3811 Dunsinane Drive Durham, NC 27707	<input checked="" type="checkbox"/> (919) 360-8887 <input type="checkbox"/> (919) 490-6717 121	Cell / Mobile Business	

Phone Book Report

Name	Primary Address	Pr. Number	Phones Type	Contact
C				
Cox, David Employee	David Cox 8207 Canoga Ave #35 Austin, TX 78724	<input checked="" type="checkbox"/> (281) 253-8576	Home	David Cox
D				
D'Alessio, Gary L Employee Advisory Client	Gary L D'Alessio 38 Glacier Drive Berlin, NJ 08009	<input checked="" type="checkbox"/> (609) 618-9006	Home	Gary L D'Alessio
Davis, John G Employee	John Glenn Davis 7117 Liverpool Lane Roseville, CA 95747	<input checked="" type="checkbox"/> (916) 945-6388	Home	
DeCamillis, Michael L Employee Advisory Client	Michael L. DeCamillis 1307 Antler Point Drive Durham, NC 27713	<input checked="" type="checkbox"/> (919) 810-1637 <input type="checkbox"/> (919) 490-6717 122	Cell Business	
Di Lorenzo, Jae Employee	Jae Di Lorenzo 1950 1/2 E DeRenne Ave Savannah, GA 31406	<input checked="" type="checkbox"/> (762) 787-7396	Home	
Durham, William M Employee Trusted Contact Person	William M Durham 2181 Raymond Diehl Rd. Tallahassee, FL 32308	<input checked="" type="checkbox"/> (850) 5664306	Home	William M Durham
F				
Fillian, Clayton Employee	Clayton Fillian TP Advisor 33 Parkside Way Perrineville, NJ 08535	<input checked="" type="checkbox"/> (732) 496-1965	Home	Clayton Fillian
G				
Gibbs, Ronald W Employee Advisory Client	Ronald W. Gibbs Ronald W & Caroline B Gibbs 1500 Palmer Dr Blacksburg, VA 24060	<input checked="" type="checkbox"/> (540) 443-3612 <input type="checkbox"/> (540) 953-2537 <input type="checkbox"/> (540) 449-1767	Business Home Cell	
H				
Harrison, Christopher Employee	Christopher Harrison Advisor 2580 Centerville Ct Tallahassee, FL 32308	<input checked="" type="checkbox"/> (770) 7156707	Home	Christopher Harrison
Hazen, Michael Employee	Michael Hazen Verity Compliance Operations Manager 280 S. Mangum Street, Suite 550 Durham, NC 27701	<input checked="" type="checkbox"/> (919) 490-6717 117	Business	
Herman-Giddens, Gregory Employee Advisory Client	Gregory Herman-Giddens 5087 Andros Drive Naples, FL 34113	<input checked="" type="checkbox"/> (919) 636-0950 <input type="checkbox"/> (919) 493-6351 <input type="checkbox"/> (919) 968-1889	Cell Business Home	
Hollar, Kurt C Employee	Kurt C. Hollar			

Phone Book Report

Name	Primary Address	Pr. Number	Phones Type	Contact
H				
Advisors Assistant User Advisory Client				
Hopwood, William R Employee Advisory Client	William R. Hopwood 10125 Ethridge Court Raleigh, NC 27615	<input checked="" type="checkbox"/> (919) 490-6717 150 <input type="checkbox"/> (919) 824-3851 <input type="checkbox"/> (919) 400-6003.	Business Cell Home	
Huggins, Allen N Employee Advisory Client	Neal Huggins 412 Market Street Wilmington, NC 28401	<input checked="" type="checkbox"/> (910) 262-6203 <input type="checkbox"/> (800) 247-6717 139 <input type="checkbox"/> (910) 762-5428	Cell Business Home	
Hynes, CFP, Peter J Employee Advisory Client Trusted Contact Person	Peter J. Hynes, CFP 2608 Kinlawton Place Raleigh, NC 27614	<input checked="" type="checkbox"/> (919) 452-2851 <input type="checkbox"/> (919) 490-6717 128 <input type="checkbox"/> (919) 452-5534	Cell Business Other	Ann Marie Hynes
K				
Klas, Peter G Employee Advisory Client	Peter G Klas 2209 Shipton Court Raleigh, NC 27614	<input checked="" type="checkbox"/> (919) 488-0387 <input type="checkbox"/> (919) 490-6717 123 <input type="checkbox"/> (919) 349-6723 <input type="checkbox"/> (919) 354-3073	Home Business Cell Other	
Komsky, Gregory Employee	Gregory Komsky 11358 Wild Oak Drive Oakdale, CA 95361	<input checked="" type="checkbox"/> (916) 719-6644	Home	Gregory Komsky
Krause, Daniel L Employee	Daniel L Krause 8400 Valk Road Oakdale, CA 95361	<input checked="" type="checkbox"/> (209) 765-0592	Home	Daniel L Krause
Kurtzer, Brian Employee Advisory Client	Brian Kurtzer 12621 Waterman Drive Raleigh, NC 27614	<input checked="" type="checkbox"/> (919) 870-0924 <input type="checkbox"/> (919) 490-6717 124 <input type="checkbox"/> (919) 637-9356 <input type="checkbox"/> (406) 253-7729	Home Business Cell Other	
L				
Lewis, Steven J Employee	Steven J Lewis 2861 Dallas Valley Lane Apex, NC 27502	<input checked="" type="checkbox"/> (919) 354-3069 <input type="checkbox"/> (919) 244-1367	Business Cell	
Lindros, Amy S Employee	Amy S Lindros 3304 Pinefield Court Efland, NC 27243	<input checked="" type="checkbox"/> (503) 260-0509 <input type="checkbox"/> (919) 490-6717 107 <input type="checkbox"/> (919) 444-0597	Cell Business Cell / Mobile	
Lovick, Luciu W Employee Advisory Client	Luciu W. Lovick 38734 Cardinal Lane Squaw Valley, CA 93675	<input checked="" type="checkbox"/> (916) 429-5992	Home	
M				
Mach, Vickie J Employee	Vickie J Mach 1582 Terracina Circle Manteca, CA 95336	<input checked="" type="checkbox"/> (209) 481-1070	Home	Vickie J Mack

Phone Book Report

Name	Primary Address	Pr. Number	Phones Type	Contact
M				
Mallinson, Jacqueline Employee	Jacqueline Mallinson 110 7th Ave Holtsville, NY 11742	<input checked="" type="checkbox"/> (631) 252-4800 <input type="checkbox"/> (631) 605-8400 102	Cell Business	
McGill, Sean J Employee Advisors Assistant User Advisory Client	Sean J. McGill 2305 Windy Woods Drive Raleigh, NC 27607	<input checked="" type="checkbox"/> (919) 490-6717 105 <input type="checkbox"/> (919) 451-1253	Business Cell	
McLean, Rob Employee	Rob McLean 9 Mendonshire Drive Honeoye Falls, NY 14472-9719			
Mejia, Karina Employee	Karina Mejia 1607 Phillips Dr Sanford, NC 27330	<input checked="" type="checkbox"/> (631) 336-4949 <input type="checkbox"/> (919) 490-6717 170 <input type="checkbox"/> (919) 240-3344	Home Business Direct Line	Karina Mejia
Menna, Rachel Employee	Rachel Menna 3075 Veterans Memorial Hwy, Ste. 130 Ronkonkoma, NY 11779	<input checked="" type="checkbox"/> (631) 605-8400 104 <input type="checkbox"/> (631) 252-4804	Business Cell / Mobile	
Menna, Raymond Employee	Raymond Menna 3075 Veterans Memorial Hwy, Ste. 130 Ronkonkoma, NY 11779	<input checked="" type="checkbox"/> (516) 658-5321 <input type="checkbox"/> (631) 605-8400 101	Cell / Mobile Business	
Moes, Nickolas L Employee	Nickolas Le Moes 464 Forest Trail Argyle, TX 76226	<input checked="" type="checkbox"/> (682) 557-9603	Home	Nickolas Le Moes
Munsey, Alexander C Employee	Alexander C Munsey Lisa A. Munsey, Custodian 1700 High Holly Lane Raleigh, NC 27614	<input checked="" type="checkbox"/> (919) 802-8441	Cell	Alex Munsey
Munsey, Jeffrey A Employee Advisors Assistant User Advisory Client	Jeff Munsey 1700 High Holly Lane Raleigh, NC 27614	<input checked="" type="checkbox"/> (919) 413-1967 <input type="checkbox"/> (919) 848-8025 <input type="checkbox"/> (919) 490-6717 140	Cell Home Business	
N				
Neville, Erik J Employee	Erik James Neville 6246 W Hanover Way Higland, UT 84003-5523	<input checked="" type="checkbox"/> (209) 321-1134	Home	Erik James Neville
O				
Olfers, Randy A Employee	Randy A Olfers Advisor 8520 Triple Crown Boerne, TX 78015	<input checked="" type="checkbox"/> (210) 392-6416	Home	Randy A Olfers
Osmond, Frederick Employee	Frederick Osmond 25387 Pineview Drive Colfax, CA 95713	<input checked="" type="checkbox"/> (916) 764-0926	Business	
Otto, Albert J Employee Advisory Client	Albert J Otto 801 Parkside Trail NW Marietta, GA 30064	<input checked="" type="checkbox"/> (770) 519-8242	Home	Albert J Otto
P				

Phone Book Report

Name	Primary Address	Pr. Number	Phones Type	Contact
P				
Preble, Kurt D Employee Advisory Client	Kurt D Preble 3520 Darwin Road Durham, NC 27707	<input checked="" type="checkbox"/> (919) 490-6717 116 <input type="checkbox"/> 280-4192 <input type="checkbox"/> (919) 493-1957	Business Cell Home	
R				
Rowden, John E Employee	John Eric Rowden 202 Delby St Hutto, TX 78634	<input checked="" type="checkbox"/> (512) 363-9736	Home	John Eric Rowden
Rudd, John Employee Advisory Client	John Rudd 2030 Sycamore Trail Blacksburg, VA 24060-9260	<input checked="" type="checkbox"/> (540) 961-2894 <input type="checkbox"/> (540) 230-7725	Home Business	John C. Rudd
S				
Sicuro, Joselyn M Employee	Joselyn M Sicuro 16 Raleigh Place Pittsburgh, PA 15239	<input checked="" type="checkbox"/> (724) 3312034	Home	Joselyn M Sicuro
Simonson, Amy L Employee External Advisor Advisory Client	Amy L Simonson 1828 Spring Overlook Lane Hillsborough, NC 27278	<input checked="" type="checkbox"/> (919) 451-1563 <input type="checkbox"/> (919) 490-6717 100 <input type="checkbox"/> (919) 493-6253	Cell Business Home	
Simonson, Quinn E Employee	Quinn E Simonson 297 Pinegrove Avenue Rochester, NY 14617	<input checked="" type="checkbox"/> (585) 752-2478	Home	
Simpson, Rebekah Employee	Rebekah Simpson 2617 Sierra Dr Raleigh, NC 27603	<input checked="" type="checkbox"/> (919) 656-1674 <input type="checkbox"/> (919) 490-6717 103	Home Business	
Solano, Gloria Employee	Gloria Solano 702 Gaston Manor Dr Durham, NC 27703	<input checked="" type="checkbox"/> (800) 247-6717 129 <input type="checkbox"/> (407) 340-0251	Business Cell / Mobile	
Somers, Ronald Employee Advisory Client	Ronald Somers Verity Asset Management Financial Advisor 420 Friar Road Winter Park, FL 32792	<input checked="" type="checkbox"/> (321) 230-9849	Home	Ronald Somers
Stroemer, Gretchen R Employee Advisory Client	Gretchen R. Stroemer 716 Caswell Rd. Chapel Hill, NC 27514	<input checked="" type="checkbox"/> (919) 968-1923 <input type="checkbox"/> (919) 644-1313 <input type="checkbox"/> (919) 270-5734	Home Business Cell	
T				
Timofeeff, Michael N Employee Advisory Client	Michael N. Timofeeff 868 Upland Drive Elmira, NY 14905	<input checked="" type="checkbox"/> (607) 215-1412 <input type="checkbox"/> (607) 777-2323 <input type="checkbox"/> (607) 732-6581	Cell Business Home	
Trace, KC Employee	KC Trace Advisor 2974 Spencer Ave Sanger, CA 93657	<input checked="" type="checkbox"/> (559) 309-9763	Home	KC Trace

Phone Book Report

Name	Primary Address	Pr. Number	Phones Type	Contact
T				
Trevillian, Malcolm M Employee Advisory Client	Malcolm M Trevillian 700 Derby Court Durham, NC 27707	<input checked="" type="checkbox"/> (919) 218-3965 <input type="checkbox"/> (919) 489-8181 <input type="checkbox"/> (919) 797-0685	Cell Business Home	
W				
Walker, Conrad T Employee	Conrad T Walker 465 El Capitan Drive Danville, CA 94526	<input checked="" type="checkbox"/> (925) 785-9603	Home	Conrad T Walker
Wegwart, Gordon Employee Advisory Client	Gordon Wegwart Verity Asset Management Managing Senior Partner 280 S. Mangum St., Suite 550 Durham, NC 27701	<input checked="" type="checkbox"/> (919) 490-6717 109 <input type="checkbox"/> (919) 451-2905 <input type="checkbox"/> (919) 419-0575	Business Cell Home	
Wildeman, Galen Employee	Galen Wildeman Advisor 404 Rowland Ave Modesto, CA 95354	<input checked="" type="checkbox"/> (209) 204-0303	Home	Galen Wildeman

Regulatory Authorities:

Financial Industry Regulatory Authority (FINRA) District 7

<https://www.finra.org/>

One Ameris Center

3490 PIEDMONT RD NE STE 500

ATLANTA GA 30305-4808

Phone 404-239-6100

Securities and Exchange Commission (SEC) Atlanta Regional Office

<https://www.sec.gov/regional-office/atlanta>

950 E PACES FERRY RD NE STE 900

ATLANTA GA 30326-1382

Phone 404-842-7600

Municipal Securities Rulemaking Board (MSRB)

<https://www.msrb.org/>

1300 I ST NW STE 1000

WASHINGTON DC 20005-3335

Phone 202-838-1500

North Carolina Department of the Secretary of State: Securities Division

<https://www.sosnc.gov/sec/>

Department of the Secretary of State

2 S SALISBURY ST

RALEIGH NC 27601-2903

Phone 919-814-5400