

EXECUTIVE SUMMARY

Purpose

The purpose of this document is to provide our advisors/clients with an overview of our business continuity plan, including high level definition of the policies and procedures that we will employ in the event of a business interruption.

Mission

QA3's mission for contingency planning is to ensure the continuous, reliable delivery of service to QA3's advisors/clients while maintaining regulatory compliance.

Planning Structure and Basic Assumptions

The basic planning assumptions for the contingency plan are the following:

1. QA3 assumes that not more than one of its critical facilities will be affected at one time. All other alternate locations will remain accessible and operational.
2. QA3 assumes that its critical infrastructure (such as electric, water, heat, ventilation, air conditioning, etc.) will remain operational as long as the facility is accessible.
 - a. If an event causes the evacuation of our operations center in Omaha, NE, QA3 will declare a business continuity event and activate the business continuity plan. This will result in a possible processing outage to enable switching of data and voice communications and relocation of associates to their alternative locations.
3. QA3 assumes that all alternative sites will be accessible and operational.
4. QA3 assumes that it will have adequate staffing available during the event.

Communications with Clients

Outbound Communications

In the event of a business continuity event, QA3 will contact our advisors by any means available with information and/or instructions via our website. This information will include instructions on how advisors can continue doing business with QA3 during a business continuity event. If applicable our clients will be notified in the same manner.

Inbound Communications

In the event of a business continuity event, QA3 advisors will be provided with phone numbers for our alternative locations.

Data Security

QA3 produces and stores paper and/or magnetic media copies of all relevant access data and programs so that in the event that the security access files and programs are destroyed or corrupted due to an event, they can be quickly reconstructed in accordance with SEC regulations.

Business Continuity

Business continuity at QA3 is defined as the orderly return of normal business operations after events that have affected QA3's home office location. Integral to the success of QA3's business continuity program is our ability to relocate associates and resume business functions at our alternate locations.

In the event of a firm only/home office disruption, entire city/business district disruption or a regional disruption, our plan calls for a response involving key employees accessing our network remotely from alternative locations. Our intent is to resume operations from our alternative locations within the same business day; however, this may take as long as 24-48 hours depending on what critical systems have been affected.

This plan is subject to modification. We will store the most updated version of this executive summary on our public website. You can obtain a copy of this executive summary by printing it from our website or requesting it in writing. Send requests to:

QA3 Financial Corp.
Attn: BCP Request
One Valmont Plaza, 4th Floor
Omaha, NE 68154