

## Bankoh Investment Services, Inc.

A non-banking subsidiary of Bank of Hawaii • Member FINRA/SIPC

Bankoh Investment Services, Inc. (BISI) is an introducing broker/dealer and member of FINRA. Accounts are carried by National Financial Services LLC, Member NYSE/SIPC. FINRA Rule 4370 requires each member firm to create and maintain a business continuity plan. In accordance with these rules, BISI has developed a plan to ensure that business continues to run uninterrupted during business emergencies.

### Business Continuity Plan

The plan is designed to address key areas of concern, including but not limited to the following:

- Data backup and recovery (hard copy and electronic);
- All mission-critical systems;
- Financial and operational assessments;
- Alternate means of communication between BISI and its customers;
- Alternate means of communication between BISI and its employees;
- Alternate physical locations of employees;
- Critical business constituent, bank and counterparty impact;
- Regulatory reporting;

- Communications with regulators; and
- How BISI will ensure that customers have access to their funds and securities in the event BISI determines it is unable to continue its business.

Events creating a disruption of business may vary in nature. They could affect only BISI, affect the building where BISI is located, affect the entire business district where BISI is located, result in a citywide disruption, or result in a regional disruption. BISI fully intends to continue to conduct a securities business during these periods of business disruption ranging from disruptions that only affect BISI to disruptions that have regional impact.

To address disruptions affecting only BISI, the building where BISI is located or the business district where BISI conducts business, BISI has arranged with Bank of Hawaii, its parent company, to supply a physical location as well as key technology infrastructure in an area that does not share any power grids with the current location and will afford BISI the opportunity to relocate its key employees and critical information technology systems in order to provide services for its clients.

To address citywide and regional business disruptions, BISI has contracted with Bank of Hawaii to supply BISI alternate office space and key information technologies in cities that differ from BISI's locations. BISI intends to take advantage of this and also use the facilities of affiliates that may be located in other cities or regions of the country.

If after a significant business disruption you need to contact us, please call 808-694-8500 or 800-392-0443. If you cannot access us through the telephone number listed below, please contact our clearing firm, *National Financial Services, LLC*, at 800-801-9942 during stock market hours.

Please be advised that business continuity plans are subject to change and modification. BISI intends to update and test its business continuity plans as business conditions and technology change.

Should you have any questions concerning the business continuity plan, please submit a written request for additional information to:

Bankoh Investment Services, Inc.  
Compliance Department  
130 Merchant Street, Suite 850  
Honolulu, HI 96813  
Telephone: 808-694-8500 or  
800-392-0443  
Fax: 808-694-4891

### **Securities and Investment Products are:**

- **Not FDIC Insured**
- **Not Bank Guaranteed**
- **May Lose Value**