

BUSINESS CONTINUITY PLAN SUMMARY

In the event of a disaster at 5000 Horizons Drive, so that employees cannot report to work, the following shall be implemented:

- The chief compliance officer, Glenn Southwick, shall implement the call tree and team supervisors are responsible for locating their team members and reporting to the CCO on their safety.
- Team supervisors will instruct employees as to when to report for work. If employees cannot contact their immediate supervisor, they should contact the CCO.
 - ↳ Communications will be established via Microsoft Teams and mobile phones, the list of which all employees have.
 - ↳ Employees will be permitted to work from their homes.
- The goal will be to contact all clients as soon as possible to inform them of the extent of damage and how we will be operating in the short term.
 - ↳ Since client assets are custodied at other firms, their assets will not be affected by a disaster at WealthStone's office.
 - ↳ Client information is stored electronically offsite and will be accessed via the internet. If there is a significant business disruption where the electronic files are located, then client records will be restored to a new server from the image based recovery system located in a different state.
- The operational and financial risk of a catastrophic interruption of business has been assessed.
 - ↳ Due to the fact no assets are custodied by any related entity and client information is stored electronically at a different location, the operational and financial risks are decreased. The cost of equipment to start up emergency operations at a different location, payroll and operating expenses on an emergency basis could be financed by existing lines of credit until revenue would be received.
- The complete Business Continuity Plan is available to our clients upon request.