

# Peachtree Wealth Advisors, Inc

## Business Continuity Plan Disclosure

Peachtree Wealth Advisors, Inc. is committed to safeguarding the interests of our clients in the event of an emergency or significant business disruption. This Business Continuity Plan Disclosure summarizes our effort to mitigate these risks and enable our firm to meet the obligations to our clients. This Business Continuity Plan is intended to comply with the rules established by FINRA and any other regulatory authorities.

Our firm's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the firm's books and records, and allowing our customers to transact business. In the event that we determine we are unable to continue our business, we will assure customers prompt access to their funds and securities.

### **Data Back-Up and Recovery**

Our home office is located at 300 W. Wieuca Road, Suite A205, Atlanta, GA 30342. Our firm maintains its primary hard copy books and records and its electronic records at our home office. All officers are responsible for the maintenance of these books and records. Our firm maintains its back-up hard copy and electronic records (digital storage) off-site. All officers are responsible for the maintenance of these back-up books and records. We back up our electronic records every fiscal quarter. Additional emergency office space is available at several locations in the event of a SBD. Please the note the emergency telephone number at these locations: 678-656-9887.

Our clearing firm represents that it backs up our records at a remote site. Our clearing firm represents that it operates a back-up operating facility in a geographically separate area with the capability to conduct the same volume of business as its primary site. Our clearing firm has also confirmed the effectiveness of its back-up arrangements to recover from a wide scale disruption by testing. They are not, however, hard and fast deadlines that must be met in every emergency situation, and various external factors surrounding a disruption, such as time of day, scope of disruption, and status of critical infrastructure—particularly telecommunications—can affect actual recovery times. Recovery refers to the restoration of clearing and settlement activities after a wide-scale disruption; resumption refers to the capacity to accept and process new transactions and payments after a wide-scale disruption.

Our clearing firm contract provides that our clearing firm will maintain a business continuity plan and the capacity to execute that plan. Our clearing firm represents that it will advise us of any material changes to its plan that might affect our ability to maintain our business. In the event our clearing firm executes its plan, it represents that it will notify us of such execution and provide us equal access to services as its other customers.

If we reasonably determine that our clearing firm has not or cannot put its plan in place quickly enough to meet our needs, or is otherwise unable to provide access to such services, our clearing firm represents that it will assist us in seeking services from an alternative source.

## **Communication with Our Clients**

In the event of an SBD, we will assess which means of communication are still available to us, and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with our clients. For example, if we have communicated with a party by e-mail but the Internet is unavailable, we will call them on the telephone and follow up where a record is needed with paper copy in the U.S. mail.

Our firm does not maintain custody of customers' funds or securities, which are maintained at our clearing firm, NFS. In the event of an internal or external SBD, if telephone service is available, our registered persons will take customer orders or instructions and contact our clearing firm or broker dealer on their behalf, and if our Web access is available, our firm will post on our Web site that customers may access their funds and securities by contacting specific personnel.

We have primary responsibility for establishing and maintaining our business relationships with our customers and have sole responsibility for our mission critical functions of order taking and entry. Our clearing firm provides, through contract, the execution, comparison, allocation, clearance and settlement of securities transactions, the maintenance of customer accounts, access to customer accounts, and the delivery of funds and securities.

## **Communication with Our Employees**

In the event of a disaster Peachtree Wealth Advisors, Inc. has established procedures by which employees will contact one another. All emergency procedures and contact information have been disseminated to our employees.

## **Disclaimer**

The firm's business continuity strategy is designed to enable us to meet our existing obligations to our clients. The plan is designed to work in many different emergency situations; but by their nature these events are unpredictable and it is impossible to anticipate every scenario that could cause a business disruption.

Our firm will update this plan whenever we have a material change to our operations, structure, business or location or to those of our clearing firm. In addition, our firm will review this BCP annually, to modify it for any changes in our operations, structure, business, or location or those of our clearing firm or broker dealer. This plan is subject to change without notice. The information contained in this disclosure is for informational purposes only.