

Prophet Wealth Management Business Continuity Plan Summary

As part of its fiduciary duty to its clients and as a matter of best business practices, Prophet Wealth Management, has adopted policies and procedures for disaster recovery and for continuing Prophet Wealth Management business in the event of an emergency or a disaster. These policies are designed to allow Prophet Wealth Management to resume providing service to its clients in as short a period of time as possible. These policies are, to the extent practicable, designed to address those specific types of disasters that Prophet Wealth Management might reasonably encounter given its business and location.

Background

Since the terrorist activities of 9/11/2001, all advisory firms are required to establish written disaster recovery and business continuity plans for the firm's business. This will allow advisers to meet their responsibilities to clients as a fiduciary in managing client assets, among other things. It also allows a firm to meet its regulatory requirements in the event of any kind of emergency or disaster, such as a bombing, fire, flood, earthquake, power failure or any other event that may disable the firm or prevent access to our office(s).

Plan Overview

Prophet Wealth Management's business continuity plan is designed so that the firm recovers effectively and quickly from a disaster, and service disruptions are minimized and managed.

As such, our business continuity strategy addresses:

- Data backup and recovery of mission critical systems.
- Processing in alternate operational facilities until primary facilities are operational.
- Establishing an alternative telephone/communication system.
- Providing an alternate physical location for employees, which may include rerouting telecommunications to alternate facilities.

Prophet Wealth Management will periodically test and review these policies and procedures to ensure appropriate updates are made.

Contact Us

If you need to contact us after a significant business disruption, please call (262)945-5505. If you are unable to reach us by telephone, please visit our website www.prophetwealth.com to obtain information.