

# NOBLE

WEALTH MANAGEMENT

## Business Continuity Plan

April 2020

Noble Wealth Management, Inc. (“NWM” or “firm”) has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

**Contacting Us** – If after a significant business disruption, you cannot contact us as you usually do at (888) 272-2008, you should contact us through our web site or our alternative number (714) 421-3023. If you cannot access us through either of those means, you should contact our designated custodians, Charles Schwab & Co., Inc. (“Schwab”) at (877) 711-9376 or [www.schwaballiance.com](http://www.schwaballiance.com) or TD Ameritrade at (888) 613-2401 or [www.tdameritrade.com](http://www.tdameritrade.com) for instructions on how they may provide prompt access to funds and securities; enter orders; and process other trade related, cash, and security transfer transactions for you, the client.

**Our Business Continuity Plan** – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses data back-up and recovery; mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our designated custodians, Charles Schwab & Co., Inc. or TD Ameritrade, are located in geographically separate areas. Schwab and TD Ameritrade will assure our customers’ prompt access to their funds and securities. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our designated custodians that their objectives are to restore their own operations and be able to complete existing transactions and accept new transactions and payments within 24 hours. Your orders and requests for funds and securities could be delayed during this period.

**Varying Disruptions** – Significant business disruptions can vary in their scope. They may impact our firm, the building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within 24 hours.

In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area and recover and resume business within 48-72 hours. In either situation, we plan to continue in business, transfer operations to an alternate site if necessary, and notify you through our web site at [www.noblewealthmanagement.com](http://www.noblewealthmanagement.com) or our alternate number at (714) 421-3023 on how to contact us.

**For More Information** – If you have questions about our business continuity planning, you can contact us at (888) 272-2008 or send us an email at [aj@noblewealthmanagement.com](mailto:aj@noblewealthmanagement.com).