

Plan 4 Financial Design Business Continuity Statement

Plan 4 Financial Design is committed to protecting the interest of our clients in the event of an emergency or significant business disruption. In the event of a significant business disruption, Plan 4 Financial Design has designed a Business Continuity Plan (BCP) to allow us to restore and continue critical business functions.

We have identified these critical business functions to include: 1.) Entering client orders, 2.) Completing securities transactions and 3.) Providing client access to cash and securities.

Our Business Continuity Plan addresses these functions by:

- Providing for relocation to an off-site recovery location.
- Maintaining a backup site to provide redundancy protection of critical records.
- Having in place a communication plan to contact firm employees and coordinate any recovery efforts.
- Designating key persons as having the authority to activate and manage the recovery effort.
- Reviewing and testing the Business Continuity Plan on a scheduled basis.

Client assets are held with the respective custodian (mutual fund family, annuity provider or clearing firm). In the event communication with Plan 4 Financial Design is not restored or available, clients may access cash or securities through direct communication with the custodian. Clients with accounts at Pershing may use the following number to contact Pershing directly: (201) 413-3635 or Multi-Financial Securities: 1-800-929-3485

As a member of the Investment community, Plan 4 Financial Design takes our responsibility to our clients very seriously. Undertaking this review, identifying our critical business functions and designing a Business Continuity Plan is a reflection of our commitment to our clients. Although we have taken these steps to meet our obligations in the event of an emergency or significant business disruption, our BCP is not infallible. While we have designed the plan to work in different emergency situations, it is impossible to anticipate all possible scenarios. While we have addressed the issues faced by Plan 4 Financial Design, we have no control over the various entities that we must rely upon in the event of an emergency.