

## **Business Continuity Disclosure Document**

Wheelhouse Securities Corp. has established an enterprise-wide business continuity planning program to assess and manage the effects of a significant emergency disruption on its business operations in an effort to provide continuity of critical business functions. Such critical business functions include entering of client orders, completing securities transactions and providing clients' access to their cash and securities.

Consistent with regulatory requirements, Wheelhouse provides this disclosure statement to its clients summarizing the program. Due to the proprietary nature of some information, detailed plans for the program cannot be publicly disseminated.

The business continuity planning program begins with an overall assessment of its business continuity risk. This process encompasses all aspects of Wheelhouse's key business functions. The assessment defines, for each business process, its criticality and a method for recovery. Individual business unit plans are reviewed and updated annually, or as significant business changes occur.

The Plan is designed to account for the actions Wheelhouse will take in the event of disruptions of varying scope. This includes incidents involving a building where any of Wheelhouse's offices may reside or regional events of disruption. It also includes a plan for people loss, where staff members may be unable to work at their normal business location. The Plan has been reasonably designed to allow Wheelhouse to continue its business, likely at a reduced capacity, and safeguard the interests of our customers. The Firm expects to be able to meet its client obligations within 48 hours.

While Wheelhouse's business continuity plan has been reasonably designed to allow the Firm to operate during emergency incidents of varying scope, such potential incidents are unpredictable. The Firm has no control over certain infrastructure such as utilities, communication networks, transportation, and third party providers that Wheelhouse may rely upon during an emergency. Because of the unpredictable and unknown nature of a potential future business disruption, Wheelhouse cannot guarantee that our systems will always be available or able to be recovered in the event of a serious emergency disruption. Wheelhouse's business continuity plan is subject to change without notice. If the Plan is modified, an updated version will be posted on the Firm's website and will be made available to customers upon request. Nothing contained in this document amends or changes any of the terms set forth in any agreements between Wheelhouse and any of its customers.