

## **DISASTER RECOVERY AND BUSINESS CONTINUITY DISCLOSURE**

As part of its fiduciary duty to its clients and as a matter of best business practices, Hollencrest has adopted a disaster recovery and business continuity plan (“BCP”) in the event of an emergency or a disaster. The BCP policies and procedures are designed to allow Hollencrest to retain certain records and resume providing service to its clients in as short a period as possible. The BCP is, to the extent practicable, designed to address those specific types of disasters that the firm might reasonably face given its business and location. Disasters can range from fire, flood, earthquake, explosion or pandemic to a power failure, serious computer malfunction or information security incident. The firm’s BCP objectives are to:

- ensure the safety of Hollencrest employees
- minimize financial loss to the firm
- continue to serve clients
- mitigate any negative impact of the disruption on the firm’s strategic plans, reputation and operations
- remain compliant with applicable laws and regulations

### **CONTACTING US**

If after a significant business disruption, you cannot contact us as you usually do at your representative’s direct number, our main number (949) 737-7700, or on our toll free number (800) 838-8951, you should call our alternative emergency number (949) 355-6123 or go to our web site [www.hollencrest.com](http://www.hollencrest.com). If you cannot access us through either of those means, you should contact your account custodian. The custodian primarily used by Hollencrest clients is Charles Schwab. Charles Schwab can be reached via their website <https://client.schwab.com/Login/SignOn/CustomerCenterLogin> or by telephone at (800) 515-2157. If your account is with an alternative custodian, you would contact that custodian with any questions.