

DISASTER RECOVERY AND BUSINESS CONTINUITY DISCLOSURE

As part of its fiduciary duty to its clients and as a matter of best business practices, Hollencrest Capital Management (HCM) has adopted a disaster recovery and business continuity plan (“BCP”) in the event of an emergency, pandemic, or a disaster. The BCP policies and procedures are designed to allow HCM 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 HCM employees
- 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
- minimize financial loss to the firm

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 website www.hollencrest.com. If you cannot access us through either of those means, you should contact your account custodian. Charles Schwab can be reached via their website www.schwab.com or by telephone at (800) 515-2157. TD Ameritrade can be reached via their website www.tdameritrade.com or by telephone at (800) 669-3900. If your account is with an alternative custodian, you would contact that custodian with any questions.