

## **Business Continuity Plan Summary Disclosure Statement**

Overview – &Partners, LLC (“&Partners”) has developed a Business Continuity Plan (the “Plan”) designed to permit our company to resume operations as quickly as possible in the event of a significant business disruption. &Partners’ response to a significant business disruption is dependent upon several factors, including: the scope and severity of the disruption (both internally and externally); the response of certain third-parties whose technology and platforms are utilized in connection with our business operations; as well as directions we may receive from regulatory agencies and securities exchanges. Due to these complexities and the unpredictable nature of disruptive events, &Partners cannot guarantee that a significant business disruption will not impact its operations. That said, the Plan, which is confidential and proprietary in nature, is specifically designed to prioritize and address the protection, preservation, recovery and restoration of the most critical aspects of our business.

Business Continuity Plan Priorities – We have designed the Plan to assure quick recovery and resumption of business operations after a significant business disruption, including:

- Safeguarding our employees and property
- Making financial and operational assessments
- Protecting the company’s books and records
- Allowing clients to transact business

Business Continuity Plan Elements – We have designed the Plan to focus on and address certain key aspects of our business operations and activities, including:

- Data back-up and recovery
- Financial and operational assessments
- Critical supplier, contractor, bank, and counter-party impact assessments
- Restoration of mission critical systems or system elements
- Alternative communications with clients, employees, and regulators
- Alternate physical location of employees
- Regulatory reporting
- Assuring clients prompt access to their funds and securities if we are unable to continue doing business

Clearing Firms: Our clearing firms, National Financial Services, LLC (“NFS”) and Pershing, LLC (“Pershing”) back-up critical records in geographically separate areas. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, our clearing firms have advised us that their objective is to restore their own operations and be able to complete existing transactions and accept new transactions and payments as soon as practically possible. Even still, your orders and requests for funds and securities could be delayed during this period. Pershing and NFS’ Business Continuity Plans are reviewed no less than annually to ensure the appropriate updates are made to account for operations, technology, and regulatory changes. Material changes will be reflected in an updated “Notice of Business Continuity”. To obtain a copy of this notice at any time, contact NFS or Pershing directly.

Contacting Us: In the event of a significant business disruption, clients can obtain information about the status of their accounts and access to their funds and securities by contacting their financial advisors. If their financial advisors are unavailable, clients can contact &Partners’ emergency number at 615-353-9875. Please note that this emergency number will be available during normal business hours (8:00AM CST – 4:30PM CST) only in the event that our primary phone service becomes unavailable. If you cannot access us through your financial advisor or the emergency number, you can contact the clearing firm for your account, Pershing at 201-413-3635 or NFS at 800-801-9942, for instructions on accessing general services such as prompt access to funds and securities, limited order entry, and processing other trade related cash and security transfer transactions.

Updates: As we continue to test our plans and as conditions in our company and the industry change, we will continuously revise the plans as considered necessary. Should material changes to the Plan occur, this ‘BCP Summary Disclosure Statement’ as well as the actual Plan will be updated as necessary. Our ‘BCP Summary Disclosure Statement’ and the Plan are subject to change without notice. Any updates to the ‘BCP Summary Disclosure Statement’ will be posted on &Partner’s website at <https://www.andpartners.com/disclosures/>. This “BCP Summary Disclosure Statement” is provided for informational purposes and is not a separate agreement or guarantee regarding the effectiveness of our business services or operational capabilities in the event of a significant business disruption.