

BUSINESS CONTINUITY PLAN SUMMARY

In the event of a disaster at 5000 Horizons Drive, so that employees cannot report to work, the following shall be implemented:

- The chief compliance officer (currently Doug Sheffield) shall be responsible for locating all employees and reporting on their safety.
- Employees shall call the chief compliance officer for instructions as to when to report for work. If employees cannot contact the CCO, then they should contact their immediate supervisor.
 - ↳ The temporary work site will be 5011 Ballybridge Dr. Dublin, Ohio, which has high speed internet access.
 - ↳ Communications will be established via mobile phones, the list of which all employees have.
 - ↳ Employees will be permitted to work from their homes.
- The goal will be to contact all clients as soon as possible to inform them of the extent of damage and how we will be operating in the short term.
 - ↳ Since client assets are custodied at other firms, their assets will not be affected by a disaster at WealthStone's office.
 - ↳ Client information is stored electronically offsite and will be accessed via the internet. If there is a significant business disruption where the electronic files are located, then client records will be restored to a new server from the image based recovery system located in a different state.
- The operational and financial risk of a catastrophic interruption of business has been assessed.
 - ↳ Due to the fact no assets are custodied by any related entity and client information is stored electronically at a different location, the operational and financial risks are decreased. The cost of equipment to start up emergency operations at a different location, payroll and operating expenses on an emergency basis could be financed by existing lines of credit until revenue would be received.
- The complete Business Continuity Plan is available to our clients upon request.
 - ↳ As required by FINRA rule 4370(e), clients of our broker dealer, WealthStone Equities, will receive a copy of this BCP summary upon account opening.