

# SMART WEALTH, LLC

## Business Continuity Plan Summary

At SMART Wealth LLC, we appreciate your business and the trust our clients have placed in us. We have developed a business continuity plan to ensure we respond to any significant disruption to our business.

### How you can contact us

In the event of a significant business disruption, if you are unable to reach us by calling our main number (402) 369-7777, you may call our alternative telephone number (402) 214-5385.

Our firm is not the custodian of the assets in the accounts we manage. At all times, clients may directly access their funds and securities by contacting their account brokerage firm or custodian. In turn, the account brokerage firms, custodians and the other vendors we rely upon to provide service to you, maintain their own business continuity plans.

### Our Business Continuity Plan

We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the company's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our company to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our plan addresses:

- The means by which data maintained by our firm is adequately backed up;
- Bringing mission critical systems back online as soon as feasibly possible;
- Alternative methods of contact for our clients and other interested parties should the standard means of communication not be available;
- The continuance of providing timely service to our customers; and
- Safeguarding client information.

If a significant business disruption is so severe that it prevents us from remaining in business, we will ensure our customer's prompt access to their funds and securities.

*If you have questions about our business continuity plan, please contact us at (402) 369-7777.*