

Business Continuity Plan Disclosure Statement

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Overview

Altruist Financial LLC ("Altruist" or "the Firm") has created and implemented a Business Continuity Plan ("BCP") in an effort to mitigate the effects related to unforeseen business interruptions. The BCP is designed to enable the Firm to continue all operations as soon as possible in case of an emergency or significant business disruption ("SBD"). Our BCP's primary objectives are to meet the needs of our customers, maintain the well-being and safety of our employees and meet our regulatory obligations. The planning process is risk-based and involves the understanding and prioritization of critical operations across the Firm, the anticipation of probable threats, and the proactive development of strategies to mitigate the impact of those events.

Our continuity planning teams work closely with local governments and officials in the event of an outage impacting our operations. Additionally, Altruist has identified three large-scale scenarios that require particular focus: pandemics, events impacting market operations, and cyber events. Detailed response plans have been developed and cross-disciplinary teams have been trained to address both disruptions as well as these specific events.

Communications and Locations of Employees During a Disruption

In the event of an SBD, Altruist will communicate with its employees in several different ways. The Firm will make use of its "Messaging App" or will employ a calling tree, which would be implemented by management in the event of an SBD. Recovery time for most of the applications is expected to range from immediate to 24 hours.

Communications with Customers

Altruist is currently able to communicate with its customers using telephone, email, US Mail, and in person. In the event of an SBD, Altruist will assess which means of communication are still available and use the means closest in speed to the means used in the past. Additionally, if all traditional means of communication are not available, Altruist will post emergency contact information and instructions on the website of its auditors BDO USA, LLP regarding access to Altruist representatives in California.

Books & Records

Altruist maintains its hard-copy books and records and electronic records primarily at its Main and Dallas, Texas offices and backup books and records at alternate locations. If records are lost as the result of a business disruption or for any other reason, Altruist has the means to recover data from both physical and electronic back-up locations physically.

Vendors and Counterparties

Altruist's BCP may need to rely upon the recovery and restoration of services provided by various critical business constituents at both its primary and alternate business locations. Altruist has considered the extent to which the Firm may be able to depend upon these business relationships during an SBD as a part of its decision to do business with the constituent. Where possible, the Firm has engaged and/or vetted alternate arrangements in order to avoid business disruptions in the case of a business constituent not being able to provide needed goods or services in an emergency.

Disclosure

Altruist's BCP is designed to address the Firm's continued operation in the event of an emergency situation or SBD. However, all risks of business interruption cannot be eliminated and Altruist cannot guarantee that systems will always be available or recoverable following an SBD. Furthermore, Altruist has no control over and must rely upon the disaster recovery plans of its various critical business constituents and vendors. In the event that material changes are made to this BCP Disclosure Statement, Altruist will make available an updated copy to all of its customers. The information contained in this Disclosure Statement is provided by Altruist for informational purposes only, and nothing contained herein shall be construed to amend, supplement, or otherwise modify any of the terms and conditions set forth in any customer agreement between you and Altruist.