

# BUSINESS CONTINUITY NOTIFICATION

Symphonic Financial Advisors' has developed a corporate wide "Business Continuity Program" ("Program") for contingency planning and disaster recovery.

The purpose of this section is to disclose to customers how Symphonic will respond to the possibility of future significant business disruptions of various durations and severity levels.

The primary objective of Symphonic's Program is to ensure the continuity of operations in the event of an unplanned business interruption. The program is structured to address a variety of potential outages, related risks, and mitigating actions and controls.

Symphonic has an Incident Response process that provides for escalation and management of the event, including internal and external crisis communications. During an emergency Symphonic activates one or more of its Emergency Operations Centers (EOC); the incident response team relocates to the specified EOC until the emergency is over.

The Program is designed and repeatedly tested to recover from various severity scenarios of business disruption, including facilities failures or disruptions to a single building, business district, city or region, telecommunications failures, natural disaster, civil disturbances and other disruptions. For all of these scenarios, to the extent feasible, Symphonic intends to continue its business operations and provide continued services to customers during any event regardless of the size and length of a business disruption. Symphonic's clearing firm (Pershing LLC) declares a recovery time objective to restore operations within four hours. Symphonic internal systems anticipate recovery times will vary between a few minutes and up to 48 hours.

In addition, we will transfer our operations to our San Francisco office when needed and there are designated alternate work area locations to relocate critical operations personnel during an emergency.

Business continuity plans are regularly exercised to demonstrate Symphonic's ability to continue normal operations with our clients, business partners, and internal staff in the event of a business disruption. These exercises, which include recovery of the infrastructure and critical applications, are conducted regularly and no less than once every twelve months. All plans are maintained on an on-going basis.

As a regulated organization, all components of the Business Continuity Program, as well as the planning and outcome of continuity exercises, are reviewed and validated at least annually by Symphonic's Board of Directors, the Audit Committee of the Board, and the OCC (Office of the Comptroller of the Currency).

Symphonic ensures that the Program complies with applicable federal securities laws and FINRA rules, and makes the Program available to the FINRA upon request. Symphonic will communicate with its regulatory authorities regarding the nature and extent of any significant business disruption as required by applicable law and regulation.

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Larger disruptions may require a physical relocation; but our mailing address, phone numbers, email addresses and website will remain the same, so this should not cause difficulties in contacting Symphonic to assist you with your needs.

In the event of a business disruption clients can contact Symphonic through our web site [www.symphonicfinancial.com](http://www.symphonicfinancial.com) or our customer emergency numbers, 1-800-677-7624 or 1-800-585-9798. If access cannot be achieved through the means listed, clients should contact Symphonic's clearing firm, Pershing LLC, at (201) 413-3635 or (213) 624 6100 extension 500 for instructions on how customers can promptly access their accounts, place trades and deliver funds and securities.

This statement is available in writing upon request and is subject to change. Changes will be immediately posted at this location as well as incorporated into the written statement. If you have questions about our business continuity planning, you can contact us at (212) 702-3500.