

BUSINESS CONTINUITY PLAN

Statherós Financial Solutions, Inc. has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

CONTACTING US

If, after a significant business disruption, you cannot contact us as you usually do at 408-871-1590 or 916-932-1219, you may be able to obtain information on our web site at www.statherosfinancial.com. You may also search for Statherós Financial Solutions, Inc. on LinkedIn for updated contact information in the event of a business disruption. In addition, even though our telephone service may be unavailable, it may be possible to communicate with us via email at info@statherosfinancial.com. Our goal will be to make relevant contact information available to our clients that is determined effective at the time a specific disruption occurs.

Alternative methods of accessing account information:

Personal Investment Clients and Advisory Partners:

Most investment advisors with Statherós have given clients their cell phone numbers which may be accessible during a business disruption. In addition, wealth management clients can access their account information via the account custodian's website. Check your account statement if you are unsure which account custodian holds your accounts. Statherós has established relationships with the following custodians for our wealth management clients:

Custodian: TD Ameritrade
Website: <https://www.advisorclient.com>
Telephone: 1-800-431-3500

Custodian: Betterment
Website: <https://www.betterment.com>
Telephone: 1-646-600-8263

Retirement Plan clients of Statherós:

Most plan sponsors and participants can access account information at the plan's recordkeeper/custodian website. Check with your human resources department if you are not sure which service provider is used. Statherós has established relationships for our retirement plan clients with the following service providers:

Custodian/Recordkeeper: Sentinel Benefits Telephone: 1-888-762-6088
Website: www.sentinelgroup.com

Custodian/Recordkeeper: Spectrum Pension Consultants Telephone: 1-800-634-3411
Website: <https://www.retirementlogin.com/spectrum/>

Custodian/Recordkeeper: Alliance Benefit Group Telephone: 1-713-690-9898
Website: <https://relius.abghouston.com/>

If a business disruption does occur, additional information on how to contact Statheròs will be posted on our Website at: www.statherosfinancial.com

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 firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back-up and recovery, all mission critical systems, financial and operational assessments, alternative communications with customers, employees, and regulators, alternate physical location of employees, critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

VARYING DISRUPTIONS

Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, employees have the ability in most cases to work securely from home. Alternatively, we will transfer our operations to a local site when needed and expect to recover within 24 hrs. In a disruption affecting our business district, city, or region, we may transfer our operations to a site outside of the affected area, and recover and resume businesses in a timely fashion with emphasis on recovery of critical functions according to their time criticality. In either situation, we plan to continue in business and notify you through our web site at www.statherosfinancial.com, Statheròs's LinkedIn page or by direct email about how you may contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will coordinate with the account custodians to assure our customer's prompt access to their funds and securities.

FOR MORE INFORMATION

If you have questions about our business continuity planning, you can contact us at 916-932-1219 or email our compliance department at compliance@statherosfinancial.com.