



Business Continuity Plan Statement

Ballew Wealth Management (“BWM”) has developed a Business Continuity Plan (“Plan”) that outlines how we will respond to events that significantly interrupt our business operations (e.g., power outages, sever weather, fire, unplanned evacuations, etc.). Since the timing and impact of disasters and disruptions are unpredictable, there is a need to remain flexible in responding to actual events as they occur. However, this Plan has been prepared to outline actions that clients may take to access their investment accounts if a significant business interruption occurs.

Contacting Us – If a significant business disruption occurs and you cannot reach our office by phone at 601-368-3500 or 1-800-879-4467, you may email us at contactus@ballewealth.com or contact us through our website at www.ballewealth.com.

If you cannot access our office via phone, email, or the web, you should contact the custodial firm (“Firm”) that handles your account(s) for instructions on how they may provide prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions for you. BWM has a relationship with Fidelity who can be reached by phone at 1-800-343-3548.

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 our books and records, and allowing our customers to transact business. Our Plan is designed to permit BWM to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our Plan addresses data backup and recovery; all mission-critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier; regulatory reporting; and assuring our customers have prompt access to their funds and securities if we are unable to continue our business.

Our custodial firm is located in a geographically separate area from BWM. They have stated that if there is a service disruption at any of their service centers, all communications will be re-routed to alternative service centers. Furthermore, they have alternate data centers in separate and distinct regions of the country where data can be accessed in the event a primary data center is not operational. Their business continuity plan is designed to provide customers with prompt, secure, and reliable access to their funds and securities. However, recovery from a significant business disruption may be delayed depending upon the nature and severity of the business disruption, and your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as affecting only BWM, the building housing our office, the business district where our office is located, the city where BWM is 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 building, we will work remotely and expect to recover and resume business within 24 hours.

In a disruption affecting the business district, city, or region where BWM office is located, we will work remotely and BWM will strive to recover and resume business within 48-72 hours. In either situation, BWM's plan is to: (i)continue business and, if necessary, transfer operations to our custodial firm; and (ii)notify clients through our website at ballewealth.com or a recording on our main phone numbers at 601-368-3500 and 1-800-879-4467 as to how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, BWM is committed to assisting our customers gain access to their funds and securities.

Further Information – Any modifications to this Business Continuity Plan Statement will be posted on our website, www.ballewealth.com. If you have questions about our business continuity planning, you can contact us at 601-368-3500.