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President

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## Business Continuity Plan Statement

East Bay Financial Services (“East Bay”) maintains a thorough Business Continuity Plan (“Plan”) in order to respond to interruptions such as weather events, power outages, and incapacitation of its principals.

The primary means of insulating against loss due to physical damage to our facility is by maintaining all material systems and information on a cloud-based server hosted by a reputable third party with its own redundancies and continuity procedures.

The primary means of communicating with East Bay should not be materially affected by physical damage to our facility, as email and our VOIP-based phone systems can be accessible from remote locations. If you cannot reach us by phone at 843-628-3739 or email at [mario@eastbayfs.com](mailto:mario@eastbayfs.com) and you need urgent assistance regarding your TD Ameritrade account, please contact TD directly at 800-431-3500. Please do not place account instructions on any voice mail, as they cannot be honored.

It is East Bay’s mission to return to operational capacity as quickly as possible, and we will do our best to disseminate information to our clients and stakeholders via email, phone, and our corporate website and Facebook page, which we encourage you to monitor:

[www.eastbayfs.com](http://www.eastbayfs.com)

<https://www.facebook.com/eastbayfinancialservices/?fref=ts>

Our custodial firm, TD Ameritrade, is located in a geographically separate area, and East Bay has performed due diligence on its contingency practices, which are centered on providing clients with timely and reliable access to their funds and account information.

In the event of incapacitation of East Bay’s Principal employees, you may be contacted by an authorized agent with information and instructions. Under no circumstances should you feel required to divulge personal information unless presented with proper indication of authority. Should you feel uncomfortable with any such situation, we suggest you contact TD Ameritrade directly for guidance.

Business disruptions vary in type and scope, and we cannot guarantee a return to normal operations within a specific period of time, but rest assured that we have established procedures to do so as quickly and fully as possible. Please contact us if you have specific questions about our Plan.