

Business Continuity Plan

Wealth Enhancement Brokerage Services maintains a Business Continuity Plan to respond to unplanned or unexpected events that may disrupt our business. Since the timing and impact of disruptions to our business and operations is unpredictable, our response to these types of events is flexible and customized to ensure that systems and operations are restored as soon as possible. We are providing you with information about our business continuity plan to instill confidence that protections and processes are in place to protect your accounts when unexpected events occur. Protecting our clients' assets is our number one priority.

Varying Significant Business Disruptions (SBD) – Disruptions can vary in scope and severity, depending on the situation. Wealth Enhancement Brokerage Services monitors multiple situations and assesses the possible impacts to our clients, employees, and the organization. If an SBD occurs, we have plans in place to recover important operations and systems as soon as possible. In addition, our communication protocols are centrally managed to provide a coordinated operational response and recovery effort.

Contacting Us During a Disruption – In the unlikely event of a SBD, you can contact us at (800) 492-1222 or visit our website at wealthenhancement.com for additional information and instructions. We will coordinate with our clearing firm(s) and other relevant entities to provide instructions on how they can assist you with accessing your funds, processing orders, and executing other trade-related transactions during that time.

Our Business Continuity Plan – Quickly recovering and resuming business operations after a SBD is of utmost importance. We will immediately respond by safeguarding our employees and property, conducting a financial and operational assessment, protecting the firm's books and records, and ensuring our clients can access their funds and reach someone who can help. During an SBD, our Business Continuity Plan enables consistent and reliable operational functionality throughout the organization. This is made possible through coordinated response and recovery procedures that ensure our clients have prompt access to their account(s), funds, and securities.

The Wealth Enhancement Brokerage Services Business Continuity Plan addresses: data backup and recovery; all critical systems; financial and operational assessments; alternate communications with clients, employees, and regulators; alternate physical location of employees; relevant supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring clients' have prompt access to their account(s), funds, and securities as we navigate an SBD.

Our Business Resiliency Program develops and maintains effective departmental business resumption plans to recover critical functions and systems. We also coordinate with internal and external partners to restore necessary operations within expedited and acceptable timeframes.

For more information – If you have questions about our business continuity planning, please contact us at (800) 492-1222.