

Business Continuity Plan

Background

While it is recognized it is not possible to create a plan to handle every possible eventuality, it is the intent of Evolve Wealth Advisors, LP (“EWA”) to set up a framework to be used in the most likely of scenarios. It is also the intent that this framework provide guidance as to how to respond should an unforeseen situation occur.

EWA believes that an adviser's fiduciary obligation to its clients includes the obligation to take steps to protect the clients' interests from being placed at risk as a result of EWA's inability to provide advisory services after, for example, a natural disaster or, in the case of some smaller firms, the death of the owner or key personnel. The clients of an adviser that is engaged in the active management of their assets would ordinarily be placed at risk if the adviser ceased operations.

Business Description

EWA conducts business in equity, fixed income, and other securities. Our company is an introducing firm and does not perform any type of clearing function for itself or others. Furthermore, we do not hold customer funds or securities. All transactions are sent to EWA’s brokerage firm(s), which executes its orders, compares them, allocates them, clears and settles them. EWA’s custodian maintains its clients’ accounts, grants client access to them, and delivers funds and securities. Our Custodians and brokerage firms are listed in the “Support Services” section of this BCP.

The business continuity plan for EWA is designed to address key areas of concern - including but not limited to the following

- Data back - up recovery
- Financial and operation assessments
- Alternative means of communication between EWA and its clients
- Alternative mean of communication between EWA and its employees
- Alternative physical office locations

EWA understands that business disruptions may occur in nature and have built in continuity business plans in the event of office location disruption.

- A disruption to EWAs primary office
- A disruption to EWAs alternative business locations
- A disruption to EWAs business district or city where EWAs alternative business are located