



SIGNATURE ESTATE SECURITIES  
*Established 2022*

### **Business Continuity Program**

SES seeks to provide uninterrupted client service. We believe the stability of our business practices, as well as our technology systems, is vital to earning your trust, therefore we make every effort to provide uninterrupted service through a Business Continuity Plan aligned with rigorous SEC and FINRA requirements.

In the event of a natural or unnatural disaster that interrupts our normal business operations at our corporate headquarters at 2121 Avenue of the Stars, in Los Angeles, California; our comprehensive Business Continuity Plans include but are not limited to the following:

Pre-defined alternate worksites and communications systems for all business-critical functions.

- Secure remote work solutions for employees that are critical to maintain service for all existing business. Any internet capable location can serve as a backup work location in an instance where there is limited or no access to any office location.
- 610 Newport Center Dr. Suite 300, Newport Beach, CA 92660 Ph 949-705-5188 or 800-472-1066 Fax 949-691-3065
- 155 N. Lake Ave., Suite 780, Pasadena, CA 91101 Ph 626-795-2944 Fax 626-795-2994
- 1650 Tysons Blvd, Suite 1575, Tysons Corner, VA 22102 Ph 703-940-3000 Fax 703-738-2259
- 1848 S. Elena Ave., Suite 100, Redondo Beach, CA 90277 Ph 310-712-2322 Fax 310-712-2377
- 3 East Third Ave., Suite 217, San Mateo, CA 94401 Ph 800-723-5115 Fax 310-712-2345
- 4801 Woodway Drive, Suite 245-W, Houston, TX 77056 Ph 832-378-6110 Fax 832-378-6109
- 4145 S.W. Watson, Suite 350, Beaverton, OR 97005 Ph 703-940-3484 Fax 703-738-2259
- 1400 16<sup>th</sup> Street, 16 Market Square, Ste 400, Denver, CO 80202 Ph 310-712-2323 Fax 310-712-2345
- 132 West 31st Street, 1st Floor, New York, New York 10001 Ph 332-208-7465 Fax 703-738-2259

Multiple layer data backup and recovery systems. Preparing multiple methods of communicating with and providing service to clients via the Internet, physical mail, local offices and automated telephone forwarding services. Annual employee awareness and Business Continuity training.

While no contingency plan can eliminate all risk of service interruption or temporarily impeded account access, we continually assess, test, and update our Plan to mitigate all reasonable risk.

If we find it necessary to temporarily move our operations, we will attempt to notify you. Please understand that this may take 48 hours or longer.

Please refer to the Business Continuity Programs of your custodian for additional key information. A complete copy of our Business Continuity Plan may be viewed in our office during regular business hours.

Sincerely,

A handwritten signature in black ink, appearing to read 'BDH', is positioned above the typed name.

Brian D. Holmes, MS, CFP®, CMFC, AIF®  
President, CEO