



Axxcess Wealth Management, LLC
Business Continuity Plan

Axxcess Wealth Management, LLC's Business Continuity Planning Axxcess Wealth Management, LLC has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan. Contacting Us – If after a significant business disruption you cannot contact us as you usually do at 858-217-5347, you should call you should contact our clearing firm, Schwab Alliance, at (800) 515-2157, or our unaffiliated Broker Dealer Arete Wealth Management, LLC at 312-940-3684 for instructions pertaining to your accounts held at National Financial Services, LLC, or Fidelity IWS. Arete Wealth Management, LLC can only provide prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions for your accounts held at National Financial Services, LLC.

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 the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption. Our business continuity 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, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business. Our clearing firms, Schwab, TD Ameritrade, First Clearing Corp, Vantage, Millennium Trust, Interactive Brokers, Fidelity IWS, and National Financial Services, LLC, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 1 business day. 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 only our firm, a single building housing our firm, the business district where our firm is located, the city where we are 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 a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within 48 hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within 5 business days. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you how to contact us. If the significant business disruption is so severe that it prevents

us from remaining in business, we will assure our customer's prompt access to their funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at 858-217-5347.

Attachment A:

Branch List

Scottsdale, AZ: 4835 E. Cactus Road, Suite 215 Scottsdale, AZ 85254 858-217-5347

Carlsbad, CA: 6005 Hidden Valley Rd., Suite 290 Carlsbad, CA 92011 858.217.5347

Brea, CA: 210 W. Birch St, Suite 204 Brea, CA 92831 858-217-5347

La Jolla, CA: 3636 Nobel Dr #440 San Diego 92122 858-455-1825

Seattle, 9750 3RD AVE NE #350 Seattle WA 98115 206-805-1770

Charleston, 1710 SIERRA ROAD Charleston West Virginia, 25314 304-395-8592

Bainbridge Island, 8600 NE COUNTY PARK RD, Bainbridge Island, WA 98110 206-441-9976

San Diego, 3111 Camino Del Rio Suite 400, San Diego CA 92108 619-487-9638

Baton Rouge, 1800 City Farm Dr. Baton Rouge LA, 70806 225-214-5935

Laguna Beach 32322 S. Coast Hwy, Laguna Beach, CA 92651 949-668-0771

Santa Barbara, 27 E. Cota St, First Floor, Santa Barbara CA 93101