



D | A | DAVIDSON

Business Continuity Planning Disclosure

At D.A. Davidson, we prioritize the well-being of our clients and seamless operation of our business processes. To ensure we can continue providing essential services and minimize disruptions in the face of unforeseen events, we have developed a comprehensive Business Continuity Plan (BCP).

Our BCP is designed to achieve the following objectives:

- a. Minimize the impact of disruptive incidents on our business operations and client services.
- b. Ensure the safety and well-being of our employees during crisis or emergency.
- c. Maintain critical business functions and essential services to our clients.
- d. Restore full operations in a timely and orderly manner after a significant disruption.

Key Components:

1. **Risk Assessment:** We regularly conduct risk and business impact assessments to identify potential threats and vulnerabilities to our business operations. These assessments include evaluating the impact of events such as natural disasters, cyber-attacks, technological failures, and other potential disruptions.
2. **Prevention and Mitigation:** We implement proactive measures to prevent and mitigate the impact of disruptive events. These measures include data backup and redundancy, cybersecurity protocols, and disaster recovery procedures.
3. **Emergency Response:** In the event of a crisis, we have an established emergency response team that coordinates efforts to safeguard our employees, the assets of our clients, vital records, and the property of D.A. Davidson. The team assesses the situation and implements appropriate response actions.
4. **Business Recovery:** Our BCP outlines detailed plans for business recovery, including alternative workspace arrangements, temporary service continuity, and vendor communication strategies.
5. **Communication:** Effective communication is crucial during a business disruption. In the event of a significant business disruption D.A. Davidson will use its public website, email, or other available means of communication to notify clients of the disruption and our recovery status. D.A. Davidson will use the above-mentioned methods of communication to inform clients of how they may access their monies and/or transact business in their accounts.

To ensure the effectiveness of our BCP, we regularly conduct simulation exercises and drills. Our employees receive comprehensive training on their roles and responsibilities during a business disruption, ensuring a coordinated and prompt response. We continuously review and update our Business Continuity Plan to reflect changes in our business operations, regulations, and best practices. We strive to maintain a robust and agile plan that evolves with our company.

At D.A. Davidson, we are committed to providing reliable and uninterrupted services to our clients. Our BCP underscores our dedication to preparedness and resilience, enabling us to face challenges head-on while maintaining the highest standard of service. During a serious disruption, please call 1(800) 332-5915 to access recorded announcements and/or instructions regarding the business disruption. Clients should note that D.A. Davidson's BCP is subject to modification and that an updated Business Continuity Disclosure is available on D.A. Davidson's website at <https://dadavidson.com/Disclosures>. Clients may also request a copy from their Financial Professional or D.A. Davidson representative.