



# SW FINANCIAL

## **Business Continuity Plan Summary Disclosure Statement**

SW Financial LLC ("SALO"), pursuant to Financial Industry Regulator Authority, Inc. ("FINRA") rules, has created a Business Continuity Plan, to address and guide our response to and recovery from Significant Business Disruptions ("SBDs"). SALO's Business Continuity Plan is subject to modification and an updated summary will be promptly sent to our clients. Alternatively, clients may obtain updated summaries by requesting a written copy by mail or fax.

In all of the following scenarios, SALO plans to continue business and our planned recovery time, depending upon the time of occurrence, should not exceed 24 hours from the time of the declaration of the SBD. Staff, telephone calls, and e-mails will return to their original location upon full restoration of service.

### **Disruption to a single building or our Firm's main office**

If a disruption occurs at our main office, we will relocate to the nearest reasonably available, suitable office location.

### **Disruption to a business district**

If a disruption occurs in our business district affecting our main office, we will relocate to the nearest reasonably available, suitable office location outside the business district.

### **City-wide business disruption**

If a disruption occurs in our city-wide area that affects our main office, we will relocate to the nearest reasonably available, suitable office location outside the city-wide area.

### **Regional disruption**

If a disruption occurs in our city-wide area that affects our main office, we will relocate to the nearest reasonably available, suitable office location outside the regional area.

SALO has also contracted with various entities to insure that sensitive information is made redundant at back-up facilities. However, due to the nature of such information we do not disclose the specific location of any back-up facilities, and any proprietary information contained in our Business Continuity Plan or the parties with whom we have back-up arrangements.

## **Corporate Office**

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