

## **BUSINESS CONTINUITY PLAN**

RW Smith & Associates, Inc. has developed a Business Continuity Plan on how it will respond to events that significantly disrupt its 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, RW Smith is 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 one of our branch locations or the firm's Home Office, 425-827-9092, you should call our alternative numbers, 206-420-7860 and 801-943-3010, or go to our web site at <http://www.rwsbroker.com>. If you cannot access us through either of those means, you should contact our clearing firm, Southwest Securities, via telephone at 214-859-1800 or on the web at <http://www.swst.com> for instructions on how it may help you process or settle a trade.

**Our Business Continuity Plan** – RW Smith plans 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.

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, Southwest Securities, that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and settlement instruction within four hours.

**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. Our associates are located in geographically dispersed offices throughout the country, which enables customers to contact another office if their primary contact is not available due to a significant business disruption; contact information for all branch locations is available on our website. Alternately, you can call one of our alternative numbers above for branch contact information.

**For more information** – If you have questions about our business continuity planning, you can contact us at 206-420-7860 or 10940 NE 33<sup>rd</sup> Place, Ste. 102, Bellevue WA 98004.