

Brett R. Smith CPA Wealth Management, LLC

Business Continuity Plan Disclosure Statement

Brett R. Smith has developed a Business Continuity Plan (BCP) on how we will respond to events that significantly disrupt our business. We provide in writing a BCP Disclosure Statement to clients upon request at account opening or upon any significant changes made to the BCP. We are providing you with this information on our BCP.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at (303) 604-0505 or at brettsmithassocii@qwest.net you should contact our clearing firms, TD Ameritrade, at 1-888-613-2401, Fidelity Investments, at 1-800-523-1203 or Charles Schwab & Co, Inc., at 1-800-435-4000 for instructions on how it may offer you prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions.

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 BCP addresses: data back up 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, TD Ameritrade, Fidelity Investments and Charles Schwab & Co, Inc., back 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, our clearing firm has advised us that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 24 hours. Your orders and requests for funds and securities could be delayed during this period. A copy of the clearing firms business Continuity Plans are located on their websites via a link at the bottom of the page labeled Business Continuity Plan:

TD Ameritrade @ www.tdainstitutional.com

Fidelity Investments @ www.advisor.fidelity.com

Charles Schwab @ www.schwab.com

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 48 hours. 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.