

The logo for Bernzott Capital Advisors is located in the top left corner. It features a dark green square with three parallel yellow diagonal lines slanting upwards from left to right. Below the lines, the text "Bernzott Capital Advisors" is written in a white, sans-serif font, stacked in three lines.

Bernzott Capital Advisors Business Continuity Plan Summary

Bernzott Capital Advisors has developed and implemented a Business Continuity Plan (“BCP”) that includes redundant data centers and a plan to conduct business from alternate locations to protect its business processes and technology environment in the event of a significant business disruption. Bernzott Capital Advisors’ policy is to respond to a significant business disruption (SBD) in an effort to safeguard employees’ lives and firm property, make a financial and operational assessment, quickly recover and resume operations, protect the firm’s books and records, and allow our customers to transact business.

The plan addresses business disruptions that may be caused by a local incident or by a regional or market related disaster that applies to many companies. The Plan covers our critical business processes and related employees essential for Bernzott Capital Advisors to continue to conduct business for an interim or temporary period during a business interruption. Every important aspect of Bernzott Capital Advisors’ business, including 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 temporarily unable to continue our business is addressed in this plan.

Bernzott Capital Advisors’ goal is to recover its Critical Business Processes with minimal interruption, depending on the nature of the disruption. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area. In either case we expect to recover and resume business within 48 hours.

If after a significant business disruption you cannot contact us as you usually do at 805-389-9445 or 800-856-2646, please go to our website at www.bernzott.com for contact instructions. If you cannot access us through either of those means, you should contact your custodian directly for instructions on how it may provide prompt access to your funds and securities including issuing checks and wires from your account.

Please be advised that our business continuity plan is subject to change and modification. Our firm will update this plan whenever we have a material change to our operations, structure, business, or location. In addition, our firm will review our plan annually to modify it for any changes. If the plan is modified, we will promptly post the revised summary on our website at www.bernzott.com. If you have questions about our business continuity planning, you can contact us at 805-389-9445 or info@bernzott.com.