

Business Continuity Plan Template for
LPL Financial Branch Offices

Legacy Wealth Planning
Business Continuity Plan (BCP)

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I. Introduction

This manual documents the business continuity plan for Legacy Wealth Planning, LLC, (LPL Branch F079) a branch office that conducts business Financial Planning; defined and not limited to all things financial – financial risk analysis, asset allocation, buying and selling marketable securities, wealth planning, retirement planning, etc. The purpose of this manual is to document the plans for the recovery of our critical business functions and systems in the event of a business disruption.

II. Emergency Contact Persons

LPL Financial provides FINRA with the contact information for 2 emergency contact persons to fulfill this requirement for all branch office locations under LPL Financial. These 2 emergency contact persons are registered principals for LPL Financial. LPL Financial stays in compliance by updating this information upon any material change and reviewing the information quarterly to ensure it is up to date.

Christopher Vargas, 64TB, Registered Principal and OSJ of Legacy Wealth Planning
Phillip S. Mahoney, 64RB, Registered Principal/OSJ and Chief Compliance Officer

Rule: FINRA Rule 4370(f); NASD Rule 1160.

III. Branch Policy

Our branch's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and our property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of our branch's books and records, and allowing our customers to transact business. In the event that we determine we are unable to continue our business, we will direct our customers to the LPL Financial service center at (800) 877-7210 for emergency assistance and access to their funds.

A. Significant Business Disruptions (SBDs)

Our plan anticipates two kinds of SBDs, internal and external. Internal SBDs affect only our branch's ability to communicate and do business, such as a fire in our building. External SBDs prevent the operation of the securities markets or a number of branches, such as a terrorist attack, a city flood, or a wide-scale, regional disruption. Our response to an external SBD relies more heavily on other organizations and systems, especially on the capabilities of LPL Financial.

B. Approval and Execution Authority

Christopher Vargas, 64TB a Registered Principal/OSJ is responsible for approving the plan and for reviewing it annually and has the authority to execute this BCP.

C. Plan Location and Access

Our branch will maintain copies of its BCP plan and the annual reviews, and the changes that have been made to it for inspection. An electronic copy of our plan is located at: www.lwpreno.com/BCP with a back-up copy at LWP Server and our off-site company hard drive.

Rule: FINRA Rule 4370(b), (d) and (e).

IV. Business Description

Our branch office conducts business in providing financial planning and advice; defined and not limited to – comprehensive client due diligence, financial risk analysis, asset allocation, buying and selling marketable securities (stocks, bonds, ETF, mutual funds, REITS, etc.), wealth planning, retirement planning, etc. We accept and enter orders for retail clients, corporate clients, 401K plans and their administrators and the public in general that hold accounts with our business.

LPL Financial performs all clearing functions and holds customer funds or securities on our behalf. All transactions are sent to LPL Financial, which executes our orders, compares them, allocates them, clears and settles them. LPL Financial also maintains our customers' accounts, can grant customers access to them, and delivers funds and securities.

LPL Financial is located at:

Boston	Carolinas (Fort Mill)	San Diego
LPL Financial	LPL Financial	LPL Financial
75 State St	1055 LPL way	4707 Executive Drive
24 th Floor	Ft. Mill, SC 29715	San Diego, CA 92121
Boston, MA 02108		

Our contact number for LPL Financial is: (800) 877-7210

V. Office Location

Legacy Wealth Planning
10599 Double R Blvd, Reno, NV 89521
775-850-2500 or 866-591-2500

Functions: financial risk analysis, asset allocation, buying and selling marketable securities, wealth planning, retirement planning, etc.

VI. Alternative Physical Location(s) of Employees

In the event of an SBD, we will move our staff from the affected primary office to one of these two listed alternate locations which are the personal residences of the persons listed in section II above. Whichever alternate location is not impacted by the SBD. These locations are:

1. Christopher Vargas, 64TB, Registered Principal and OSJ of Legacy Wealth Planning
 - a. 2799 Beach River Drive, Reno, NV 89521 - 775-853-4125 or 775-336-7707
2. Phillip S. Mahoney, 64RB, Registered Principal/OSJ and Chief Compliance Officer
 - a. 3880 Fairview Road, Reno, NV 89511 - 775-742-8742 or 775-853-9026

Rule: FINRA Rule 4370(c)(6).

VII. Customers' Access to Funds and Securities

LPL Financial maintains custody of customers' funds or securities on our behalf. In the event of an internal or external SBD, if telephone service is available, our registered persons will take customer orders or instructions and contact LPL Financial on their behalf, and if our Web access is available, our branch will post on our website that customers may access their funds and securities by contacting LPL Financial at: (800) 877-7210.

If the Securities Investor Protection Corporation (SIPC) determines that we are unable to meet our obligations to our customers or if our liabilities exceed our assets in violation of Securities Exchange Act Rule 15c3-1, SIPC may seek to appoint a trustee to disburse our assets to customers. We will assist SIPC and the trustee by providing our books and records identifying customer accounts subject to SIPC regulation.

Rules: FINRA Rule 4370(a); Securities Exchange Act Rule 15c3-1; see also 15 U.S.C. § 78eee.

VIII. Data Back-Up and Recovery (Hard Copy and Electronic)

Our branch maintains its primary hard copy books and records at:
10599 Double R Blvd, Reno, NV 89521

Our branch maintains its primary electronic records at:

Legacy Wealth Planning Main Server – 10599 Double R Blvd, Reno, NV 89521

LPL Financial Server(s) – Addresses listed above in Section IV

Redtail Software Server(s) - 3131 Fite Circle, Sacramento, CA 95827 - (800) 206-5030

Microsoft One Drive Servers(s) - 501 Port Industrial Way, Quincy, WA 98848 – (425) 882-8080

Christopher Vargas, Rep ID 64TB, OSJ is responsible for the maintenance of these books and records. Our branch maintains the following document types and forms that are not transmitted to LPL Financial:

- Word Documents and letters from clients
- Client statements and investment information from outside firms
- Hard copies of documents such as trusts, wills
- Correspondence from clients, attys, CPA's
 - All documents in a client hard file here at Legacy Wealth Planning is backed up digitally and stored on the Redtail Technology data encrypted cloud servers. (see hard copy books and records below)

All records at these listed off-site cloud locations is backed up by internal procedures as approved by LPL Financial in that these sites are approved sites by LPL Financial Compliance.

Hard copy books and records

Legacy Wealth Planning maintains no hard copy records, all records of client relationships (new account forms, and client documents (trusts, wills, outside vendor statements, etc.) are imaged and stored on one of the above listed storage locations that stores our primary client electronic records

Our branch backs up electronic records daily by automatic back-up procedures installed in our onsite server to duplicate external hard-drives one of which is removed weekly from the premises and held by our Office Manager, Jennifer Singer (4670 Firtree Lane, Sparks, Nevada 89436).

In the event of an internal or external SBD that causes the loss of our paper records, we will physically recover them from our back-up site. If our primary site is inoperable, we will continue operations from our back-up site or an alternate location. For the loss of electronic records, we will either physically recover the storage media or electronically recover data from our back-up site, or, if our primary site is inoperable, continue operations from our back-up site or an alternate location.

Rule: FINRA Rule 4370(c)(1).

IX. Financial and Operational Assessments

A. Operational Risk

In the event of an SBD, we will immediately identify what means will permit us to communicate with our customers, employees, critical business constituents, critical banks, critical counter-parties and regulators. In addition, we will retrieve our key activity records as described in the section above, Data Back-Up and Recovery (Hard Copy and Electronic). If needed, we will direct customers directly to LPL Financial at: (800) 877-7210.

Rules: FINRA Rules 4370(c)(3), (c)(4), (c)(5), (c)(7), (c)(9 & (g)(2)).

B. Financial and Credit Risk

In the event of an SBD, we will determine the value and liquidity of our investments and other assets to evaluate our ability to continue to fund our operations and remain in capital compliance. We will contact LPL Financial, critical banks and investors to apprise them of our financial status. If we determine that we may be unable to meet our obligations to those counter-parties or otherwise continue to fund our operations, we will request additional financing from our bank or other credit sources to fulfill our obligations to our customers and clients. If we cannot remedy a capital deficiency, we will file appropriate notices with our regulators and immediately take the appropriate steps.

Rules: FINRA Rules 4370(c)(3), (c)(8) & (g)(2).

X. Mission Critical Systems

“Mission critical systems” are those that ensure prompt and accurate processing of securities transactions, including order taking, entry, execution, comparison, allocation, clearance and settlement of securities transactions, the maintenance of customer accounts, access to customer accounts and the delivery of funds and securities.

We have primary responsibility for establishing and maintaining our business relationships with our customers and have sole responsibility for our mission critical functions of order taking, entry and execution]. LPL Financial provides the execution, comparison, allocation, clearance and settlement of securities transactions, maintenance of customer accounts, access to customer accounts and the delivery of funds and securities.

A. Our Branch's Mission Critical Systems

Order Taking

Currently, we receive orders from customers via telephone, or in person. During an SBD, either internal or external, we will continue to take orders through any of these methods that are available and reliable, and in addition, as communications permit, we will inform our customers when communications become available to tell them what alternatives they have to send their orders to us. If customers are unable to reach the branch to place trades they can contact LPL Financial Service Center at (800) 877-7210.

Order Entry

Currently, we enter orders by recording them on paper and sending them to LPL Financial electronically through BranchNet or telephonically. LPL Financial represents under its BCP, we can expect service restoration within four (4) hours.

In the event of an internal SBD, we will enter and send records to LPL Financial by the fastest alternative means available, which include telephone or BranchNet/ ClientWorks. In the event of an external SBD, we will maintain the order in electronic or paper format, and deliver the order to LPL Financial by the fastest means available when it resumes operations. In addition, during an internal SBD, we may need to refer our customers to deal directly with LPL Financial for order entry.

Order Execution

LPL Financial executes orders on our behalf. LPL Financial's Fort Mill and San Diego offices serve as primary locations for Trade Execution. Each office serves as the backup for the other. There are documented and tested plans in place to provide for a fail-over between the two sites.

Other Services Currently Provided to Customers

In addition to those services listed above in this section, we also meet regularly with clients to discuss their investments and continue our due diligence in assessing their risk tolerance and appropriate asset allocations, we construct financial plans and investment statements for retirement accounts. In the event of an internal or external SBD, we would then meet with the clients at their addresses of residence or business if those addresses are not impacted by the event that created the SBD and if not available, we would select a suitable location to meet outside the above listed primary office location that is safe and suitable for conducting business.

B. Mission Critical Systems Provided by LPL Financial

Our branch relies on LPL Financial to provide order execution, order comparison, order allocation, customer account maintenance and/or access and delivery of funds and securities.

LPL Financial backs up our records at a remote site. LPL Financial's Fort Mill and San Diego offices serve as primary locations for mission-critical processing, including: Operations,

Trade Execution and Processing, and the Service Center. Each office serves as the backup for the other. There are documented and tested plans in place to provide for a fail-over between the two sites.

Rules: FINRA Rules 3510(c)(2) & (g)(1).

XI. Alternate Communications between the Firm and Customers, Employees, and Regulators

A. Customers

We now communicate with our customers using the telephone, email, our website, fax, U.S. mail and in-person visits at our office or another location. In the event of an SBD, we will assess which means of communication are still available to us, and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party. For example, if we have communicated with a party by email but the Internet is unavailable, we will call them on the telephone and follow up where a record is needed with paper copy in the U.S. mail.

We will use whatever means of communication available to us including email, phone, our website or updating our voicemail to instruct our clients to contact the LPL Financial client line if we will be unable to transact business for them due to power or network outages.

Rule: FINRA Rule 4370(c)(4).

B. Employees

We now communicate with our employees using telephone, email, and in person.. In the event of an SBD, we will assess which means of communication are still available to us, and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party. We will also employ a call tree so that senior management can reach all employees quickly during an SBD. The call tree includes all staff home and office phone numbers. We have identified persons, noted below, who live near each other and may reach each other in person:

The person to invoke use of the call tree is: [Christopher Vargas, Rep ID 64TB OSJ]

Caller	Call Recipients
Christopher Vargas	Phil Mahoney, Martin McClellan
Christopher Vargas	LPL Financial
Phil Mahoney	Rosemary Cowen
Martin McClellan	Ashlee Peroli
Rosemary Cowen	Jennifer Singer, Mark Levy
Ashlee Peroli	Jon Park, Steve Rose
Jennifer Singer	Bodie Monroe

Rule: FINRA Rule 4370(c)(5).

C. Regulators

We communicate with our regulators using telephone, email, fax, U.S. mail and in person. In the event of an SBD, we will assess which means of communication are still available to us, and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party.

Rule: FINRA Rule 4370(c)(9).

XII. Critical Business Constituents, Banks, and Counter-Parties

A. Business constituents

Critical business constituents are businesses with which we have an ongoing commercial relationship in support of our operating activities such as vendors providing critical services.

LPL Financial provides most of our critical services. We will quickly establish alternative arrangements if a business constituent can no longer provide the needed goods or services when we need them because of a SBD to them or our firm.

Our other critical business constituents are:

See Vendor list attached as Attachment D

Rules: FINRA Rule 4370(c)(7).

B. Banks

We have contacted our banks and lenders to determine if they can continue to provide the financing that we will need in light of the internal or external SBD. The bank maintaining our operating account is:

Bank of America, 100 North Tryon St., Charlotte, North Carolina 28255
(704)386-5681

If our banks and other lenders are unable to provide the financing, we will seek alternative financing immediately from:

Not Applicable as our operation is not financed by any lending institution.

Rules: FINRA Rule 4370(c)(7).

C. Counter-Parties

LPL Financial maintains the relationships with our critical counter-parties on our behalf. Where the transactions cannot be completed, we will work with LPL Financial or contact those counterparties directly to make alternative arrangements to complete those transactions as soon as possible.

Rules: FINRA Rule 4370(c)(7).

XIII. Regulatory Reporting

Describe how your firm will file its regulatory reports in the event of an SBD.

We are subject to regulation by the SEC, FINRA and the Nevada Secretary of State. We now file reports with our regulators using paper copies in the U.S. mail, and electronically using fax, email and the Internet. In the event of an SBD, we will check with the SEC, FINRA and other regulators to determine which means of filing are still available to us, and use the means closest in speed and form (written or oral) to our previous filing method. In the event that we cannot contact our regulators, we will continue to file required reports using the communication means available to us.

Rule: FINRA Rule 4370(c)(8).

XIV. Disclosure of Business Continuity Plan

LPL Financial has a BCP disclosure statement that is provided to our customers at account opening and attached to this document as “Attachment A”. The BCP Disclosure statement is also posted to www.lpl.com and mailed to customers upon request.

Rule: FINRA Rule 4370(e).

XV. Testing, Updates and Annual Review

We will test our plan on an annual basis (see attachment B), and update this plan as an outcome of the test, or whenever we have a material change to our operations, structure, business or location or to those of LPL Financial. In addition, our firm will review this BCP annually to modify it for any changes in our operations, structure, business or location or those of LPL Financial.

Rule: FINRA Rule 4370(b).

XVI. Senior Manager Approval

I have reviewed the annual test results, and approve the testing and this Business Continuity Plan as reasonably designed to enable our branch to meet its obligations to customers in the event of an SBD.

Rule: FINRA Rule 4370(d).

Signed: _____

Title: _____

Date: _____

LPL Financial & Affiliate Business Continuation Plan Summary

LPL Financial and our affiliate—The Private Trust Company—are committed to providing timely service to our clients. We recognize the importance of preparing for various disaster scenarios that could hamper our ability to provide service. We have taken aggressive steps to provide for business contingency and continuity planning under a variety of potential scenarios. We continue to evaluate our continuity plans and take the necessary actions to ensure the proper resources are available to provide for the recovery and timely resumption of critical business operations to internal business units, third-party business partners, and clients.

LPL Financial Business Continuation Strategy

Headquarters and Staff

LPL Financial has headquarters and operations staff located in three principal locations: Boston, Fort Mill, and San Diego. The Boston office serves as the primary site for our executive office, Legal, and Research. These units, while vital to the company on a continuing basis, are not considered mission-critical for the daily back-office operation of our business. In the event of a disaster that would make the Boston office unserviceable, the San Diego office is its alternative facility.

Mission-Critical Departments

Both the Fort Mill and San Diego offices serve as primary locations for our mission-critical departments, including: Operations, Trade Execution and Processing, and the Service Center. Each office serves as the backup for the other. There are documented and tested plans in place to provide for a fail-over between the two sites.

The LPL Financial Production Data Center is located in a second and distinct Charlotte location. The alternate Data Center is located in Dallas, Fort Worth, Texas.

- The Production Data Center facility is located approximately ten miles from the Fort Mill office location.
- The Production Data Center infrastructure is fully redundant in terms of power, network, and equipment.
- Each of our office locations also has fully redundant networking and telecommunications systems.
- There is redundant connectivity across Boston, Fort Mill, and San Diego.

The LPL Financial brokerage computing platform is operated in another geographical region of the United States by an unaffiliated third-party vendor. None of the scenarios presented in this document would pose a threat of business disruption to this remote site. The third-party vendor has a complete business continuity plan that includes alternative sites and recovery times within four hours.

Business Scenario Preparedness

Single Building Disruption

If LPL Financial loses the ability to perform business in one of our buildings, recovery staff associated with mission-critical functions will begin processing at our alternate processing site (Boston, Fort Mill, or San Diego, depending on the impacted department).

We have plans in place for this relocation, and these plans are tested periodically. Recovery time objectives vary based on the criticality of the function that is disrupted.

Regional Disruption

If LPL Financial loses the ability to perform business at either the Fort Mill or San Diego location, mission-critical San Diego functions would be failed over to our Fort Mill office and vice versa. Staff associated with non-mission-critical functions will be relocated to an alternative site (e.g., hotel, home) in an unaffected area. We have plans in place for this recovery and they are tested periodically. Recovery time objectives vary based on the criticality of each function.

Remote Data Center Disruption

If LPL Financial loses the ability to perform business in our Production Data Center in Charlotte, mission-critical systems will be recovered to our Dallas, Fort Worth Data Center. We have plans in place for this recovery and they are tested periodically. Mission-critical systems recovery is expected within four hours.

Pandemic Event

LPL Financial has plans in place to continue business during a pandemic event. Our plan is a multi-tiered action plan based on the World Health Organization (WHO) alert phases with triggering events for each phase. As the threat of a pandemic becomes greater and a new phase is triggered, we will assess our plans and determine the appropriate course of action.

Access to Your Funds

A site outage should not impact our customers' ability to access their available funds, as LPL Financial business contingency plans are designed to ensure sustained service. However, their ability to trade securities may be impacted by market events outside the control of LPL Financial, such as when the market was closed following the September 11 tragedy. Our tested business continuity plans result in necessary personnel being available to approve transactions that result in the disbursement of available funds. In the event that your LPL Financial advisor ceases operations due to a significant business interruption, you may call (800) 877-7210 for emergency assistance.

Business Continuity Annual Test Requirement

Testing your BCP confirms that your strategies will reduce business interruption and enable a successful recovery. Also, performing test exercises will ensure that your employees are properly trained in their responsibilities and understand their roles during a business continuity event.

To assist in your BCP test exercise, please find a Test Checklist on the next page.

How to perform your test:

Recovery Strategy Execution (Alternative Physical Location)

- Person or Group simulates a “real life” event
- Use a scenario that could impact your organization to execute the step by step plan specific to the documented recovery strategy (leverage another office location, utilize a home location, or contract with a Work Area Recovery vendor such as Regus)
- Relocate required staff to the selected recovery location
- Document which staff relocated
- Verify connectivity is in place (phone & network), and that you can transact business as required to support clients
- Ensure communication strategies are useful, timely and accurate
- Utilize recovery location from 1-4 hours
- Demonstrate areas of success and identifies single points of failure and opportunities to update your plan

After completing your test, review the results and hold a Lessons Learned meeting to discuss findings, experiences and review the goals and objectives. Be sure to make any necessary updates to your current BCP.

Please utilize the included checklist on the next few pages to assist in documenting your test.

TEST CHECKLIST		YES	NO
Strategy	What Alternative Physical Location was leveraged for the test, and was it able to support the business processes/staff and the continuation of your business:		
	1. Alternative office location (per Plan)		
	2. Work area recovery (Regus)		
	3. Home office (per Plan)		
Recovery Response Actions	Which staff members were included in the test exercise/relocation event:		
	1.		
	2.		
	3.		
	4.		
	5.		
	6.		
	7.		
	8.		
	9.		
10.			
Recovery Response Actions	1. Were there any issues with network connectivity/phone access?		
	2. Were you able to transact “business as usual” at the recovery location?		
	3. How long did you remain at the recovery location:		
TEST CHECKLIST		YES	NO
Test Outcomes	1. Was the test suitable and appropriate?		
	2. Did participants understand the BCP?		
	3. Did the BCP capture all roles to support activation?		
	4. Are roles and responsibilities appropriate and current?		
	5. Have backups been identified for all roles and responsibilities?		
	6. Are delegations of tasks appropriate?		
	7. Are any revisions or additions to the BCP required?		

Test Outcomes (Continued)		YES	NO
	8. Has responsibility for these actions been assigned?		
	9. Has an appropriate timeframe been designated to complete the actions?		
	10. Has a report on the test been completed?		
	11. Has the test report been provided to the appropriate person(s) in the firm?		
	12. Has the BCP been updated with the results of the testing?		
	13. Has the revised BCP been approved by the Plan Owner(s)?		
Areas of focus during Lessons Learned		YES	NO
Strategy	Do your BCP strategies address All Hazards in a business disruption?		
	1. No Access to facilities		
	2. No access to your Technology		
	3. Reduced access to people		
Plan and Prepare	Are actions required to add missing information to your BCP?		
	Are hard and electronic copies of your BCP stored in appropriate, easily accessible and secure locations?		
	Are employee roles, responsibilities and priorities understood?		
Continuity Response Actions	Do actions identify who does what, when and where?		
	Do 'manual work arounds' have a logical and easy to follow flow?		
	Were actions successfully completed?		
Recovery Response Actions	Do actions identify who does what, when and where?		
	Do 'back to business as usual' actions have logical flow?		
	Are recovery actions practical? Are they sufficient?		
	Were actions successfully completed?		
Interdependencies	Have all interdependencies been adequately addressed?		
Communication	Are all staff and key departmental or regional contacts included?		
	Are all contact details complete, current and accurate?		

Communication <i>(Continued)</i>		YES	NO
	Does the Plan address contacting staff to notify them whether they need to come to work or report to an alternate location?		
	Does the Plan identify key messages and communication channels to each of the stakeholders in the event Network/Technology systems are unavailable?		
	Does the Plan identify essential suppliers/ third party vendors and/or supplier/vendor contact details?		
Resource Requirements (People, facilities, Network, Vital Records)	Does the BCP anticipate all the resources required to support BCP activation?		
	Is it clear who the BCP coordinator should contact regarding required continuity resources?		
	Are all vital records, data or resources required to implement continuity strategies current and accurate?		

Conclusion

Please be aware that, while we have detailed plans in place, we cannot guarantee that we will be successful in achieving recovery in the times noted above. For example, we may not be able to implement a plan during a disaster as quickly as we expect, or there may be disasters that we have been unable to anticipate and for which we have no plan. Additionally, if parts of our plan are dependent upon third parties, we will have no control over the success or failure of the third party to respond appropriately to the challenges posed at the time of the disaster. Our continuity plans are periodically updated and modified. Updated plan summaries will be made available on our website (www.lpl.com) and can be obtained by submitting a written request.

Attachment C: Damaged Books and Records Log

Finra Guidance on Books and Records Maintained at the Affected Locations

Members that maintained books and records at the affected locations should make every effort to retrieve or back-up such records. If any such records were permanently destroyed, a list of the types of books and records required to be maintained pursuant to NASD Rule 4510 and SEA Rules 17a-3 and 17a-4 must be prepared. The list should include the time periods affected, but need not include records that can be recreated from an electronic database or that can be retrieved otherwise from a service bureau, back-up records storage facility, etc. All such lists must be submitted to LPL Financial through the Compliance Service Center at 1-(800) 877-7210 x6835.

Identifiable? (Y/N)	Document Category (Finra Rule 4510, NYSE Rule 440 or SEC Rules 17a-3 and 17a-4)	Description of records and information contained	Time Period	Backed Up/ Stored Electronically? (Y/N)	If stored offsite or electronically enter location	Can be re- created? (Y/N)

Legacy Wealth Planning Outside Vendor List

Vendor List for Steven Rose

- VANGUARD/ASCENSUS
- MASSMUTUAL
- LINCOLN
- JACKSON
- PRUDENTIAL
- PRINCIPAL
- PROTECTIVE LIFE
- PACIFIC LIFE
- AMERICAN FUNDS
- OPPENHEIMER
- ALLIANZ
- JOHN HANCOCK
- NATIONWIDE
- OHIO NATIONAL
- BRIGHHOUSE

Vendor List for Christopher Vargas

- VANGUARD/ASCENSUS
- PAI
- AIG SUNAMERICA
- HARTFORD ANNUITIES
- SUNWEST PENSIONS
- AMERICAN FUNDS
- OPPENHEIMER
- DELAWARE
- JOHN HANCOCK
- DST VISION
- AMERICAN LEGACY
- OHIO NATIONAL
- FRANKLIN
- JACKSON NATIONAL
- NATIONWIDE
- METLIFE/BRIGHHOUSE
- SUNLIFE

Vendor List for Martin McClellan

- AMERICAN FUNDS
- BRIGHTHOUSE
- FRANKLIN TEMPLETON

Vendor List for Jon Park

- VOYA
- JACKSON NATIONAL
- AMERICAN FUNDS 529
- ASSET MAKR
- SEI
- JOHN HANCOCK
- LINCOLN LIFE
- METLIFE/BRIGHTHOUSE
- NATIONWIDE
- PRUDENTIAL
- FRANKLIN TEMPLETON
- GUARDIAN
- HARTFORD

Vendor List for Bodie Monroe

- AMERICAN FUNDS-COLLEGE AMERICA

Vendor List for Phillip Mahoney

- JP MORGAN
- FRANKLIN TEMPLETON
- AMERICAN FUNDS
- BRIGHTHOUSE
- AXA
- HARTFORD/PUTNAM
- JOHN HANCOCK

Vendors List for Mark Levy

- FRANKLIN TEMPLETON - ARTISAN
- JP MORGAN
- GOLDMAN SACHS
- AXA
- LINCOLN
- ALLIANZ
- ISHARES/BLACKROCK
- OPPENHEIMER

Attachment E

Legacy Wealth Planning Advisor and Staff List

ADVISORS

Chris Vargas – 64TB, 7YCK
2799 Beach River Drive
Reno, NV 89521
Phones 775-853-4125 or 775-336-7707
Skype Username: N/A

Steve Rose – 6F9J, 7YDK
1840 Stetson Drive
Reno, NV 89521
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Revision History

Revision History (Business Continuity Plan)

Revision Date	Name (First, Last)	Revision Summary

Completed BCP Tests

Test Date	Name (First, Last)	Test Result