

Blueprint Wealth Management, Inc.

Business Continuity Plan

Updated 9/20/2023

I. Emergency Contact Persons

Our firm's two emergency contact persons are:

Jordan Wilson – 240-460-8531

Steve Molesky – 410-979-5499

II. Firm Policy

Blueprint Wealth Management, Inc. views being able to execute critical business functions every day, despite circumstances, as our fiduciary responsibility. It is an essential part of our commitment to excellence. Not only do we need to be able to execute trades, but we must also be able to keep clients informed in the event of a disaster or other significant business interruption. We have a strategic priority to utilize digital solutions to improve more secure storage offsite, and for the ability to work and execute from anywhere, provided secure internet access is available.

Although cybersolutions have their own inherent risks, we believe that the benefits outweigh the risks. Our goal is to take actions to avert or mitigate risks, and to have a thought-out plan of response in case of a Significant Business Disruption (SBD). We recognize that all risk cannot be eliminated but it can be mitigated and minimized with advance planning.

Our firm's policy is to respond to an SBD by safeguarding employees' lives and firm property, making a financial and operational assessment, protecting the firm's books and records, quickly recovering and resuming operations, and minimizing the disruption to trades and client services.

A. Significant Business Disruptions

Our plan anticipates two kinds of SBDs, internal and external. Internal SBDs impact only our ability to communicate and do business, such as if our building were to burn down. External SBDs prevent the operation of the securities markets or several firms, 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 capability of the custodians of our client assets.

B. Approval and Execution Authority

Jordan Wilson is responsible for approving the plan. Jordan Wilson also has the authority to execute this Business Continuity Plan (BCP).

C. Plan location and access

Our firm will maintain copies of the BCP, the annual testing of the BCP, and the changes made to the BCP for inspection purposes.

III. **Business Description**

Our firm is an investment adviser and does not perform any type of clearing function. We do not hold client funds or securities, rather we manage client assets at independent custodians. The custodians hold and maintain clients' accounts and deliver funds and securities.

IV. **Office Locations**

Our primary address is:

5026 Dorsey Hall Drive, #105
Ellicott City, MD 21042
Phone: [410-992-4500](tel:410-992-4500)

V. **Alternative Location**

In the event of a disruption, the Firm will evaluate the severity of the disaster in order to determine the best step to take to continue its responsibility of servicing customers and managing accounts.

For minor disruptions, for example severe weather which impedes travel, associates will work temporarily from home using secure internet access.

For more serious minor disruptions, such as a prolonged power outage at the office, the firm may establish temporary quarters at the home of an associate.

For serious and prolonged disruptions, the office will either secure new temporary space near to the existing facility or relocate to an alternate location in a different portion of the country.

VI. Clients' Access to Funds and Securities

Our firm does not maintain custody of client funds or securities. These funds/securities are maintained by independent custodians, primarily Charles Schwab & Co., Inc. In the event of an internal or external SBD, we expect to be able to enter orders electronically. As an alternative, we would place client orders or give instructions by phone. During an SBD, clients may access their account information, request transactions and make trades by contacting Blueprint Wealth Management, Inc. or the custodians directly.

VII. Data Back-Up and Recovery

At Blueprint Wealth Management, data backup is a top priority to ensure the security and availability of critical information. We rely on robust solutions like OneDrive and Citrix to safeguard our data. OneDrive offers cloud-based storage with version history, helping us recover previous file versions, while Citrix ensures secure access to our applications and data, even from remote locations. Together, these tools form a comprehensive data backup strategy that minimizes the risk of data loss and facilitates efficient collaboration within our organization.

VIII. 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 clients, employees, critical business constituents, counterparties and regulators. Although the effects of an SBD will determine the means of alternative communications, we may use our website, telephone and voice mail, or email as means of notification. We will retrieve our key activity records as described in the section above, "Data Back-Up and Recovery."

B. Financial and credit Risk

In the event of an SBD, we will determine our ability to continue and fund operations. If we find we are unable to continue to fund our obligations, we will request additional financing from a bank or other credit sources to fulfill our obligations to our clients. If we cannot remedy a capital deficiency, we will file appropriate notices with our regulators and inform our clients.

IX. Mission-Critical Service Providers

Our firm's essential service providers are listed below:

| COMPANY | CONTACT | PHONE | EMAIL / Website | FAX | COMPANY'S EMERGENCY OFFICER |
|----------------------------------|----------------|----------------|------------------------|------------|------------------------------------|
| Charles Schwab | | 800-515-2157 | www.schwab.com | | |
| Community National Bank | | (800) 680-0340 | www.cnbservice.net | | |
| Advisors Excel | | 866.363.9595 | www.advisorsexcel.com | | Team Schroder (Annuity and Life) |
| Advisors Excel Wealth Management | | 866.363.9595 | www.advisorsexcel.com | | Team Sullivan (Schwab) |
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X. Alternate Communications between the Firm and Customers and Employees

A. Clients

We currently communicate with our clients using telephone, email, website, fax, U.S. Mail, and in-person visits at our firm or another location. In the event of an SBD, we will assess which means of communication are still available and use the most appropriate form to communicate with clients and custodians.

B. Employees

We 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 and use the most appropriate form to communicate with employees. We use a call tree so all employees may be reached quickly during an SBD.

C. Regulators

In the event of an SBD, we would need to contact the U.S. Securities and Exchange Commission at:

[Philadelphia Regional Office](#)

1617 JFK Boulevard, Suite 520
Philadelphia, PA 19103
215-597-3100

Disclosure of Business Continuity Plan

Attached is our written BCP disclosure statement we provide to customers upon request. This disclosure is available on our website.

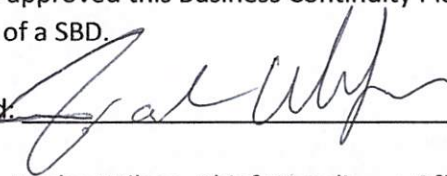
XI. **Updates and Annual Review**

Our firm will update our plan whenever we have a material change to our operations, structure, business location or to those of our custodians. In addition, we test our plan at least annually.

XII. **Senior Manager Approval**

I have approved this Business Continuity Plan as reasonably designed to enable our firm to meet obligations to customers in the event of a SBD.

Signed: _____



Name: Jordan Wilson, Chief Compliance Officer

Date: _____

9/28/2023