# Business Continuity, Trusted Contact & Financial-Exploitation

Continuity of service and protective measures for clients.

Effective September 3, 2026 - Version Date September 3, 2026

Protocol Wealth, LLC maintains a written business continuity plan designed to help us continue serving clients during a significant business disruption, such as a systems outage, regional disruption, loss of facilities, vendor outage, cyber incident, or key-person event.

## Business Continuity

Client assets are held by custodians, qualified custodians, approved digital-asset custody providers, or client-authorized wallet infrastructure, as applicable. Protocol Wealth does not maintain a client-asset balance sheet. If Protocol Wealth operations are disrupted, clients should continue to receive official account records from the applicable custodian or provider and may contact that provider directly.

Protocol Wealth uses cloud-based systems, remote-work capabilities, backups, and alternate communication methods. Recovery time will depend on the severity and type of disruption. Some disruptions may be outside our control.

During a disruption, contact support@protocolwealthllc.com. If you cannot reach Protocol Wealth and need immediate account access, contact your custodian or platform directly using contact information from an official statement or trusted source.

## Trusted Contact Person

You may, but are not required to, provide a trusted contact person. A trusted contact does not receive trading authority, withdrawal authority, or ownership rights. We may contact a trusted contact in limited circumstances, such as:

- To address a possible financial-exploitation concern.
- To confirm current contact information.
- To confirm health status if we cannot reach you.
- To identify a legal guardian, executor, trustee, holder of a power of attorney, or other authorized representative.

You may add, change, or remove a trusted contact by notifying Protocol Wealth in writing.

## Protection Against Financial Exploitation

If we reasonably believe that financial exploitation of an eligible adult may be occurring, has occurred, or has been attempted, we may take protective steps permitted by law and custodian procedures. These may include notifying a trusted contact, notifying appropriate state adult-protective-services or securities regulators, or requesting that a custodian place a temporary hold on a disbursement or transaction.

Any temporary hold is subject to applicable law, timeframes, and custodian procedures. These steps are protective measures intended to act in the client’s interest.

Protocol Wealth, LLC is a registered investment adviser (CRD #335298). Registration does not imply a certain level of skill or training. Investing involves risk, including possible loss of principal; past performance does not guarantee future results. This is a disclosure, not a contract term. It states Protocol Wealth’s current practice, is delivered before the Client Advisory Agreement is signed - section 5 of that Agreement records the delivery - and is superseded by a later edition rather than amended.