



Business Continuity Plan

The firm's emergency contact person(s) is the CEO/Chief Compliance Officer(CCO), Ted Lundgren.

Email address: ted.lundgren@hgadvisors.com

Phone: (281)589-2632

Address: 819 Worthshire Street, Houston, TX 77008.

Our firm's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering and resuming operation, protecting all of the firm's books and records, and allowing our customers to transact business. Our firm does not hold customer funds or securities. All transactions are sent to our custodian, Axos Advisor Services, which executes our orders, allocates them, clears, and settles them. Axos Advisor Services also maintains our customers' accounts, can grant customers access to them, and delivers funds and securities. Our firm's custodian address is:

7103 S Revere Pkwy, Centennial, CO 80112.

Phone number: (866) 776-0218

In the event that we are unable to continue our business, we will assure customers promote access to their funds and securities. In the event of an internal or external SBD our firm will post on our website that customers may access their funds and securities by contacting the custodian directly. Copies of the Business Continuity plan and annual reviews, and the changes that have been made to it for inspection are maintained on our server.