

SVB Wealth Advisory, Inc.
Business Continuity Plan Disclosure Statement
April 2021

SVB Wealth Advisory has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us -If you cannot reach us as after a significant business disruption by contacting your registered representative or the Client Service Team, you should call 800-774-7390.

Our Business Continuity Plan - We plan to quickly recover and resume business operations after a significant business disruption by safeguarding our employees and property, making a financial and operational assessment, protecting our books and records, and allowing our customers to transact business. In short, our plan is designed to permit us to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical locations; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm, NFS, backs up client account documentation in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and to be able to complete existing transactions and accept new transactions and payments within 8 hours. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions - Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In an event of a disruption, whether to the building housing our firm, or the business district, city, or region in which we operate, we will transfer our operations to a local site when needed, or permit staff to utilize remote VPN login from home depending on the severity of the disruption. In a widespread disruption affecting the extended geographical region in which we conduct business, we will transfer our operations to a site outside of the affected area. Depending on disruption severity, we intend to recover and resume business within established recovery time objectives. In either situation, we plan to continue in business and notify you through our [website](#) or our customer emergency number, 415-764-3100 how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will transfer operations to our clearing firm and assure prompt access to your funds and securities.

For more information - If you have questions about our business continuity planning, you can contact your Relationship Manager or Investment Operations at Bill Scoggins wscoggins@svb.com 703-448-5095.