

## BUSINESS CONTINUITY PLAN STATEMENT

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October 2016

McLean Asset Management Corporation (“MAMC”) has developed a Business Continuity Plan (“Plan”) regarding how it will respond to events that significantly interrupt its business operations (e.g., power outages, severe weather, fire, unplanned evacuations). Since the timing and impact of disasters and disruptions are unpredictable, there is a need to remain flexible in responding to actual events as they occur. However, this Plan Statement has been prepared to outline actions which clients may take to access their accounts if a significant business interruption occurs.

**Contacting Us** – If after a significant business disruption you cannot contact our main office as you usually do at 866-827-0636 or 703-827-0636 or via email, you should call our CO office at 855-505-7688 or our NH office at 603-413-6060, or [contact us through our web site, \[www.mcleanam.com\]\(http://www.mcleanam.com\)](#). If you cannot access us via phone, email, or the web, you should contact one of MAMC’s custodial firms, TD Ameritrade Institutional (“TDA”), by phone at 800-431-3500 or Charles Schwab (“Schwab”), by phone at 800-540-0654; email at [elite1@tdameritrade.com](mailto:elite1@tdameritrade.com) or [james.kerr@schwab.com](mailto:james.kerr@schwab.com) for instructions on how they may provide prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions for you. Either TDA or Schwab is the custodian for your accounts and you are able to establish direct access to your accounts by contacting the one where your accounts are custodied.

**Our Business Continuity Plan** – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the our books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit MAMC 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 location of employees; critical supplier; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our custodial firms are located in a geographically separate area from MAMC. Each has stated that if there is a disruption in service at any of their service centers, all communications will be re-routed to alternative service centers. Furthermore, they have alternate data centers in separate and distinct regions of the country where data can be accessed in the event a primary data center is not operational. Their business continuity plans are designed to provide customers with prompt, secure and reliable access to their funds and securities. However, recovery from a significant business disruption may be delayed depending upon the nature and severity of the business disruption, and 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 affecting only MAMC, a single building housing one of our offices, the business district where an office is located, the city where a Firm office is located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within 24 hours.

In a disruption affecting the business district, city, or region where a MAMC office is located, operations from such office will be transferred to a site outside of the affected area, and the Firm will strive to recover and resume business within 48-72 hours. In either situation, the Firm's plan is to: (i) continue business and, if necessary, transfer operations to TDA or Schwab, our custodial firms, if necessary; and (ii) notify you through our web site at [www.mcleanam.com](http://www.mcleanam.com) or a recording on our main phone number at 703-827-0636 as to how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, MAMC is committed to assisting our customer's gain access to their funds and securities.

**Further information** – Any modifications to this Plan Statement will be posted on our website, [www.mcleanam.com](http://www.mcleanam.com), or you may obtain a current version of this Statement by contacting us. If you have questions about our business continuity planning, you can contact us at 703-827-0636 or email at [info@mcleanam.com](mailto:info@mcleanam.com).