

Pacific Growth Equities, LLC – Business Continuity Plan Summary

Pacific Growth Equities, LLC has established a *business continuity plan* to guide the Firm's responses to unforeseen events that could cause temporary interruptions of its business.

Pursuant to that plan, for example, Pacific Growth duplicates all critical Firm, client, regulatory and financial information on appropriate media, and stores the backed-up information at remote locations. Such information is regularly sent to the off-site storage facilities. Likewise, the established service bureau that Pacific Growth uses to process and maintain vital Firm and client account information maintains redundant data centers to protect the information that it processes for the Firm. From time to time Pacific Growth participates in disaster recovery exercises to confirm that such stored information remains accessible to it, and accurate. Among other things, Pacific Growth also secures and monitors its data center, regulates its data communication lines and maintains and supervises password policies and procedures to limit access to its data.

Pacific Growth's *business continuity plan* also takes advantage of the Firm's multi-office and multi-state office system by providing alternate locations from which the Firm's employees can temporarily perform essential business functions in the event of a Firm or community-wide interruption in business. Procedures are in place to notify employees if an event results in a change in business locations or processes, although a business-wide disruption could temporarily delay the processing of information and requests. Provisions have also been made for clients to continue to be able to contact Pacific Growth employees.

Business continuity planning is an on-going process, and Pacific Growth currently is evaluating a number of initiatives to improve its disaster response time. It regularly evaluates additional business continuity plan opportunities. Pacific Growth appreciates your continued business as together we attempt to anticipate and plan for uncertainties in an uncertain time.