STEELPEAK WEALTH

Business Continuity Plan Summary

SteelPeak Wealth, LLC
Our Commitment to Continuity

At SteelPeak Wealth, we recognize that our fiduciary duty to clients requires us to maintain uninterrupted service delivery, even during unexpected business disruptions. Our comprehensive Business Continuity Plan (BCP) ensures we can continue serving our clients' best interests under any circumstances.

Plan Objectives

In the event of a business interruption, our BCP is designed to:

- Minimize disruption impact to client services and firm operations
- Sustain essential services at acceptable levels during extended interruptions
- Restore normal operations as quickly and safely as possible

What We Protect

Our plan addresses potential loss or disruption of:

Physical Facilities – Alternative workspace arrangements and contingent office locations ensure business operations continue if our primary offices become inaccessible.

Operational Capabilities – We maintain comprehensive backup systems for:

- Data and information resources (backed up hourly with off-site replication)
- Communications infrastructure (telephone, internet, and email)
- Essential utility and vendor services
- Financial resources and insurance coverage

Key Personnel – Clearly defined succession plans identify interim successors for all critical roles, ensuring seamless leadership continuity.

Last Updated: February 2026

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Our Emergency Response

We maintain a dedicated Emergency Response Team led by experienced professionals who coordinate disaster recovery operations. Team members have specific responsibilities for data restoration, client communications, regulatory notifications, and service provider coordination. The firm has established procedures to respond to significant business disruptions (SBDs) of varying scope, including those that affect 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 region where we are located.

Regular Testing & Updates

Our BCP is a living document that we review and test at least annually. We conduct targeted vulnerability assessments, update procedures based on business changes, and provide ongoing employee training to ensure readiness. The plan is reviewed and approved by senior management and modified as needed to address changes in our operations, structure, business, or location.

Your Assurance

SteelPeak Wealth's Business Continuity Plan reflects our commitment to operational resilience and client service excellence. While we hope never to face a significant disruption, we are prepared to protect your interests and maintain the high level of service you expect from us. Our plan addresses how we will communicate with clients, employees, service providers, and regulators during a significant business disruption, if we are unable to continue business.

For questions about our Business Continuity Plan, please contact our Emergency Response Team Leader Tony Walsh at tony.walsh@spwm.com

Last Updated: February 2026