

Dwight Investment Counsel, LLC – Business Continuity Plan

Effective: March 17, 2025

Overview

This plan ensures that during any significant business disruption (SBD)—whether from internal events (e.g., key personnel incapacitation) or external factors (e.g., natural disasters)—operations are maintained, and clients remain informed while regulatory obligations are met.

Key Policies and Procedures

Response & Recovery:

- Protect firm property and secure all electronic records (with daily backups)
- Assess financial and operational impacts and resume normal operations promptly.

Communication:

- Maintain client, third-party, and regulator contact through the website, email, phone, and postal mail.
- Continue regulatory filings using the fastest available methods.

Operational Flexibility:

- Relocate operations to alternative undisclosed family homes in Maine, if necessary.
- Note that client assets are held by an external custodian, not by the firm.

Contact Information

Primary Contact:

Lawrence “Lance” Edward Dwight III

Email: lancedwight.advisor@gmail.com

(Private contact details are provided on business cards and email footers.)

Alternate Contact:

Provided upon request, for preserve the privacy of the alternate contact.

Firm Overview

Structure & Services:

- Registered New Hampshire investment advisor, founded in 2019, owned and managed by Lance Dwight.
- Provides investment advice and portfolio management without custodial control over client assets.

Location:

- Primary Office: Holderness, New Hampshire. As this is a private residence, the address is only disclosed privately to clients on business cards.
- Alternative office locations may be used in Maine when needed.

Plan Access & Updates

- The plan is available to clients at account opening and on the firm's website.
- It is reviewed annually and updated as necessary for material changes.

Approval & Execution

The plan is approved and executed by Lance Dwight. In his absence due to incapacity or death, the designated alternate contact will promptly contact clients and regulators and is authorized to act on behalf of the firm.