Emergency Succession/Continuity Plan



Prepared by:	Advisor
Acknowledged by:	Wealthcare Compliance
	Successor Advisor
The purpose of this succession plan and the plans objectives are:	
In the event of a planned retirement:	
In the event of an unplanned absence (death or disability):	
In the event of a logistical emergency:	
Authorized advisor, staff, or family member in charge of the implementation of the pla or disability:	in in the event of my death
My clients should be serviced in the following manner:	
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Logistical Emergency

My process for evacuating employees in the event of a disaster, including identification of a central meeting place is:

The procedure for contacting clients and key service providers (including maintenance of client contact information outside of the office) is:

The procedure for backup and recovery of electronic and paper records (i.e. maintenance of a backup of all critical electronic and paper records in a fireproof safe outside of the office) is.

Communication Plan

Please contact the following to get system access to:

Notify the following of my death or incapacitation:

Wealthcare	Broker	Dealer
Custodian	Clients	
State Regulatory Agencies (SEC, FINRA)	Other	

Compensation Agreement

Planned Exit	
Unplanned Exit	
Partial or Temporary Disability	



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