

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 plan in the event of my death or disability: _____

My clients should be serviced in the following manner:

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:

My alternative location for conducting business 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 _____

