

# Business Continuity Plan Summary

---

Avantax Wealth Management, Inc. d/b/a Avantax Wealth Management<sup>SM</sup>, a Blucora company, and its financial services affiliates, i.e., Avantax Investment Services, Inc., Avantax Advisory Services, Inc., and Avantax Insurance Company, LLC (which may be collectively referred to herein as “Avantax Wealth Management Affiliates,” or “Avantax” or “we” or “us” or “our”) recognize the importance of safeguarding our clients’ assets and protecting our clients’ account information in the event of a Significant Business Disruption (“SBD”) of our normal day-to-day operations due to a natural and/or man-made disaster. Avantax has developed a Business Continuity Plan (“BCP”) to enable the firm to recover from both internal and external disruptions of varying lengths and scope. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. Avantax reviews, updates and tests its BCP on a regular basis.

It is the policy of Avantax to respond to a SBD by safeguarding employees’ lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations and allowing our clients to transact business.

Our BCP is developed to include the ability to recover from situations that effect one or more of the following:

- our primary location,
- a single building housing our firm,
- the business district where our firm is located,
- the city where we are located, or
- the entire region.

Within each of these areas, the severity of the disruption can also vary from minimal to severe. Additionally, in any of the above situations, we plan to continue our business, transfer our critical functions to our clearing firm for brokerage business or advise clients to contact the product sponsor directly for retail direct and insurance business, if necessary. Avantax will make every effort to ensure that clients can access their funds and securities within a reasonable time directly from their clearing firm, mutual fund companies and insurance carriers. Please note that we have no control over the clearing firm’s or product sponsors’ ability to respond appropriately to clients during a disaster.

If necessary, in a disruption to our firm or a building housing our firm, we will transfer our operations to an alternate location and expect to resume critical functions of order taking, order entry, account maintenance and providing access to funds and securities within four (4) hours with other service-related functions being operational within 12 hours. In a SBD affecting our business district, entire city or region, we will transfer our operations to a geographically separate location that is not within the district, city or region and expect to resume operations within 24 hours. However, while we have a detailed BCP in place, we cannot guarantee the recovery times above, as we may not be able to anticipate the ramifications or outcomes of all disasters. In the event that your Avantax Financial Advisor ceases operations due to a significant business interruption, you may call Avantax at (972) 870-6000 for emergency assistance.

Avantax does not maintain custody of client funds or securities and relies on our critical business constituents, such as our clearing firm, National Financial Services LLC, for processing client transactions, maintaining client accounts and providing prompt access to clients’ funds and securities.

Our BCP addresses all of the following:

- data backup and recovery;
- all mission critical systems;
- financial and operational assessments;
- alternative communications with clients, employees and regulators;
- alternate physical location of employees;
- critical supplier, contractor, bank and counter-party impact;
- regulatory reporting; and
- assures our clients prompt access to their funds and securities, if we are unable to continue our business.

Avantax’s BCP Summary is subject to modification, without notice. A current copy and updates to Avantax’s BCP Summary are posted on the firm’s website at [www.avantaxwealthmanagement.com](http://www.avantaxwealthmanagement.com) or may be requested from Avantax as follows:

Avantax Wealth Management, Inc.  
Attn: Business Continuity Planning  
6333 North State Highway 161, 4th Floor  
Irving, Texas 75038

This BCP applies to Avantax Wealth Management, Inc., Member FINRA, SIPC and all of its affiliated companies including: Avantax Investment Services, Inc, Avantax Advisory Services, Inc., Avantax Insurance Company, LLC., and other Avantax insurance agencies as established to meet state requirements.