The Art & Science of Successful Planning
Business Continuity Plan Summary
Updated September 4th, 2025

The Art & Science of Successful Planning ("ASofSP") understands the importance of ensuring our customers have continued access to their funds and securities in the event our office operations are impacted by a disaster. As a result, we have developed and maintain a business continuity plan that describes the means by which ASofSP's office operations in Fort Myers will respond to future significant business disruptions of varying degrees of severity. ASofSP maintains an independent custody relationship with Various custodians. ASofSP data is held in all three of these home office operations at each of their respective addresses. All three is equipped to back up ASofSP for resumption of business in the event a significant business disruption affects the building, business district, city and/or the region. All three are also equipped for back up as well through other areas throughout the country. We will continue to conduct business during those disruptions and may choose to relocate services to designated backup facilities should a disaster happen. Relocations of critical functions can be completed within a reasonable time frame via the world wide web through the acquisition of new computers or computers hosted off premises should a significant disruption occur, as all three relationships are web centric. ASofSP's Data Center is in Fort Myers, FL. In additions, our advisory business is operated by our Clearing Firms (John Hancock, Orion, Pershing, Envestnet, Nationwide, Charles Schwab, and Fidelity) that are located in yet different regions of the country. All of these providers are independent of one another and ASofSP, and have complete business continuity plans designed to allow them to continue operations in the event they experience a significant business disruption too. Their plans include redundancies, alternate facilities, and recovery time objectives that support our plan. In the event of a significant business disruption at ASofSP's location in Fort Myers, FL. customers may contact their respective custodians or direct investment purveyor at each of their respective publicly listed (800) customer service lines. Please be advised that while we have detailed plans in place, we cannot guarantee we will be able to recover as quickly as outlined above under ALL possible circumstances. Our recovery time objective may be negatively impacted by the unavailability of third parties and/or other circumstances beyond our control like internet and or electrical power outages. Third party business continuity plans are reviewed and tested throughout the year and are subject to modification. To obtain the most current version of this summary, you may refer to each respective custodian of direct investment website at:

Envestnet.com/business-continuity

Fidelity.com

Nationwideadvisory.com

Orion.com

Johnhancock.com

Pershing.com/disclosures

1. Purpose

The purpose of this Business Continuity Plan (BCP) is to ensure that The Art and Science of Successful Planning ("ASoFSP") can maintain essential business operations, protect client data, and quickly recover from disruptions, including cybersecurity incidents, natural disasters, and other operational risks.

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2. Scope

This plan applies to:

- All employees, contractors, and business partners.
- All systems, software, and data environments owned or managed by ASoFSP.
- All services provided to clients, including financial planning, insurance, and senior care consulting.

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3. Business Continuity Objectives

- Ensure client services remain accessible and secure.
- Minimize operational downtime.
- Protect sensitive client and business data.
- Meet compliance and regulatory requirements.
- Provide clear recovery processes in the event of a disruption.

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4. Risk Assessment

Risk/Threat	Likelihood	Impact	Mitigation Strategy
Cybersecurity Breach	Medium	High	MFA, firewalls, data encryption, regular updates

Ransomware/Malware	Medium	High	Endpoint protection, offline backups
Natural Disaster (Hurricane)	Medium	High	Off-site backups, remote access plans
Internet/Network Outage	Medium	Medium	ISP redundancy, VPN access
Physical Office Inaccessibility	Low	Medium	Remote work readiness, cloud platforms

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5. Critical Business Functions

Business Function	Recovery Time Objective (RTO)	Recovery Point Objective (RPO)
Client Financial Records	4 hours	1 hour
Communication Systems (Email/Phone)	2 hours	30 minutes
Website & Client Tools	6 hours	2 hours
Internal Administrative Systems	24 hours	12 hours

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6. Roles & Responsibilities

Role	Responsibility
Business Continuity Manager	Oversees plan activation, communicates updates
IT Provider/TechWebbing	Restores systems, ensures cybersecurity protection
Compliance Officer	Regulatory and legal reporting
Office Manager	Staff coordination, client communication

Leadership Team	Decision-making and resource allocation

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7. Incident Response Process

1. **Detection:** Identify the incident through alerts, reports, or monitoring tools.
2. **Containment:** Limit damage by isolating affected systems or networks.
3. **Notification:** Alert internal leadership, staff, and necessary partners.
4. **Recovery:** Restore systems, data, and services from backups.
5. **Communication:** Notify clients, regulators, or stakeholders as required.
6. **Review:** Conduct a post-incident analysis to update procedures.

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8. Backup & Recovery

- Daily incremental and weekly full backups stored both locally and in the cloud.
- Quarterly testing of backup restoration.
- Cloud-based client data hosting with high availability.

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9. Communication Plan

- Primary contact: **Tyler G. Harrelson** – (239) 489-0084
- Secure email: **tylergharrelson@asofsp.com**
- If primary systems are unavailable, staff will use secure messaging apps and alternative phone systems.
- Pre-approved public statements will be used for client updates.

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10. Training & Testing

- Annual BCP testing and security drills.
- Ongoing employee cybersecurity awareness training.
- Regular updates as services, systems, and regulations change.

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11. Plan Review & Maintenance

This plan will be reviewed **annually** or after any significant business or regulatory change. ASoFSP leadership is responsible for approving updates and ensuring all staff are aware of procedures.

Approved by:
Tyler G. Harrelson, CES, CLTC, CFS, P.A.
President, The Art and Science of Successful Planning