



Business Continuity Plan

Ellsworth's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting the firm's books and records, and allowing its clients to transact business.

Ellsworth's plan anticipates two kinds of SBDs, internal and external. Internal SBDs affect only Ellsworth's ability to communicate and do business, such as a fire in its building or the death of a key member of the firm. External SBDs prevent the operation of the securities markets for a number of firms, such as a terrorist attack, a city flood, or a wide-scale, regional disruption.

Ellsworth does not maintain custody of clients' funds or securities, which are maintained at its brokerage firm. In the event of an internal or external SBD, if telephone service and internet service are available, Ellsworth's investment advisor representatives (IARs) will take customers' orders or instructions from its alternative locations, phone numbers, websites or alternative email addresses and contact its brokerage firm on their behalf. If internet access is available, Ellsworth will post on their website, and LinkedIn that clients may access their funds and securities by contacting it.

In the event that Ellsworth determines it is unable to continue its business, it will assure clients prompt access to their funds and securities.

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