Business Continuity Plan

September 11, 2025

Rothschild Wealth LLC maintains a Business Continuity Plan detailing how we will respond to events that significantly disrupt our business. 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. With that in mind, we are providing you with this summary of our business continuity plan.

Our Business Continuity Plan

We plan to recover and resume business operations as quickly as possible after a significant disruption by safeguarding our employees and property, making a financial and operational assessment, protecting our books and records, and allowing our clients to transact business.

- Data backup and recovery of mission-critical systems
- Financial and operational assessments
- Alternative communications with clients, employees, and regulators
- Alternate physical location of employees
- Regulatory reporting obligations
- Protection of client nonpublic information
- Assuring prompt client access to funds and securities if we are unable to continue business

Contacting Us

If, after a significant business disruption, you cannot contact us as you usually do by calling your Financial Professional directly or our main line at 630.448.5711, you should call our alternative number 312.983.8900, send an email to compliance@rothschildwealth.com, or go to our website at rothschildwealth.com. We may also provide updates through other communication channels, such as email or public postings, if phone and website access are disrupted.

We recognize you may need access to your account to sell a position or request a check before we re-establish telephone service. During this time, you will need to contact the appropriate custodian who holds your investments.

BNY Pershing LLC

BNY Pershing may be contacted directly at 201 413-3333 to process limited trade-related transactions, cash disbursements, and security transfers.

Instructions to Pershing must be in writing to:
general.customer.service@bnymellon.com or

Post: Pershing LLC P.O. Box 2065
Jersey City, NJ 07303-2065

Schwab

Schwab Alliance may be contacted at 800.515.2157 to process limited trade-related transactions, cash disbursements, and security transfers.

Post: Charles Schwab & Co., Inc.
Omaha Operations Center
200 S 108th Ave
Omaha, NE 68154

Fidelity

Fidelity may be contacted at 800.343.3548 to process limited trade-related transactions, cash disbursements, and security transfers.

Post: Fidelity Investments
PO Box 770001
Cincinnati, OH 45277-0003

Varying Disruptions

Significant disruptions can vary in scope: affecting only our firm, a single building, our local business district, the city, or an entire region.

- Localized Disruptions: If our firm or a single office is affected, we may relocate to a local alternate site or enable remote work and generally expect to resume business within 24 hours, where feasible.
- Regional Disruptions: If a wider area is impacted, we may relocate operations to an unaffected region, with the goal of resuming business as quickly as possible, given the scope and severity of the disruption.
- In either case, we plan to continue business, transfer operations to our clearing firm if necessary, and notify clients through our website, emergency number, and other available communication methods.
- If the disruption is so severe that we are unable to remain in business, we will ensure clients have prompt access to their funds and securities.

Annual Review & Testing

We review and test our Business Continuity Plan at least annually and update it whenever there are material changes to our operations, business model, or location. Test results are documented, and improvements are implemented to strengthen our preparedness.

Bottom Line

Our Business Continuity Plan is designed to permit us to resume operations as quickly as possible, safeguard client assets and records, and maintain ongoing communication. While no plan can eliminate all risk of service disruption, our goal is to minimize downtime and assure our clients' continued access to their funds and investments.