



BUSINESS CONTINUITY PLAN
DISCLOSURE STATEMENT
Effective January 1, 2022

I. Planning

WealthHarbor Capital Group, LLC (“WGC”) maintains a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are 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 information on our business continuity plan. These plans are reviewed annually and updated as necessary.

II. Contacting Us

WGC does not maintain custody of or report to customers on their investments. WGC utilizes the services of third parties to perform these tasks. If there is a significant business disruption and you cannot contact us as usual at 877-444-9544 and your account is maintained by our clearing firm, Pershing Advisor Solutions, you should contact Pershing at 866-569-3499 for instructions on how to enter orders, access your funds and for other account-related information. If your account is held with our Retirement Plan provider, Aspire Financial Services, you should contact Aspire Financial Services at 813-874-0671 for assistance and instructions. If your account is held with our Retirement Plan provider, Retirement Strategies Group, you should contact Retirement Strategies Group at 877-212-0005 for assistance and instructions. The contact numbers are provided in case of a business disruption and you cannot contact WGC directly. They are only used during times of business disruption and should not be used except in a business disruption event.

III. Our Business Continuity Plan

In the event of a significant business disruption, WGC will make every attempt to stay in business. We plan to quickly recover by resuming business operations and allowing our customers to transact business. Our recovery time objective including those involving relocation of personnel or technology, is within 24 hours. This recovery objective may be negatively affected by the unavailability of external resources and circumstances beyond our control.

Our business plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, a business district where our firm is located, a city, or a whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to an alternate site if needed and expect to recover and resume business within 4 hours. Our response to an external business disruption such as a terrorist attack or citywide flood will be to transfer our operation to a site outside of the affected area, and recover and resume business. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary and continue to assure that our clients have access to their funds and securities.

WealthHarbor Capital Group Business Continuity Plan (continued)

For more information – If you have questions about our business continuity planning, you can contact us at 504-482-1962 or 877-444-9544.