



Business Continuity Plan Summary

Firm Policy

In the event of a Significant Business Disruption (“SBD”), it is the policy of Keel Point, LLC and Keel Point Capital, LLC (collectively “KP”) to react quickly and efficiently and according to pre-tested and pre-planned procedures to ensure the safety of our employees, associates, and clients, as well as critical operational and account data. We will provide information to employees, associates and clients both pre and post SBD to ensure operations are run as smoothly as possible during this critical time.

Contacting Us

Keel Point offices can be reached at; Huntsville, AL (Corporate) (256) 704-5111, Annapolis, MD (410) 571-4244, Brentwood, TN (615) 373-1992, Chattanooga TN (423) 756-4800, Greenville, NC (252) 227-4680, Leawood, KS, (913) 663-1800, Birmingham, AL (256) 261-3621 and Tysons, VA (703) 807-2020.

If office phone lines are not working properly, please try us through our alternative emergency numbers, Annapolis (202) 256-5394 or (804) 210-6429, Brentwood (615) 310-2122 or (615) 545-2726, Chattanooga (803) 331-8425 or (731) 267-7779, Huntsville (901) 356-5126 or (256) 603-8380, Leawood (816) 210-4422 or (913) 488-5777, Birmingham (865) 809-7960, and Tysons (571) 305-0658 or (419) 356-1611. Since those numbers are cellular based, if only land lines are affected by the disruption, you should be able to reach us. If those numbers fail, you can go to our website at www.keelpoint.com and either contact us or search for further instructions on how to contact us. We make every attempt to forward incoming calls to either the Huntsville or Tysons offices.

If you try to reach us by visiting our location, please understand that if our building has suffered damage for any reason, we may move our operations to an alternate location.

Significant Business Disruption (“SBD”)

Definitions:

Our Firm’s business continuity plan covers three types of disruptions:

- **Firm Disruptions (“FD”)** – Disruptions that primarily affect KP. This includes, but is not limited to, a building fire, a building power outage, computer or network malfunction, virus infection, or disruption or disconnection of telephone services;
- **Local Disruptions (“LD”)** – Disruptions that affect a local area. This includes, but is not limited to, regional floods, fires, terrorist attack, earthquake, tornado, hurricane, chemical spill or regional power, telephone or Internet outages; and
- **Regional Disruptions (“RD”)** – Disruptions that affect a wide area. This includes, but is not limited to, power grid failure or regionally affected natural disaster or terrorist attack.

Firm Disruptions (FD)

In the event of an FD, clients can access KP’s website for updates or call one of the numbers provided above for information and instructions. Under this scenario, KP will plan to continue doing business and will inform our clients via phone, e-mail or website of our recovery time.

Local Disruptions (LD)

In the event of an LD, clients can access KP’s website for updates or call one of the numbers provided above for information and instructions. Under this scenario, KP will close the office(s) affected by the LD and inform our clients via phone, e-mail or website of our recovery time.

Regional Disruptions (RD)

In the event of an RD, clients can access KP’s website for updates or call one of the numbers provided above for information and instructions. Under this scenario, KP will close the office(s) affected by the LD and inform our clients via phone, e-mail or website of our recovery time.

Data Back-up

The Firm back up of electronic files is completed multiple times throughout each day using a cloud-based backup solution. Firm user data is stored in Microsoft 365 which utilizes document versioning and retention in addition to independent backups.

Plan review and updates

This Business Continuity Plan is subject to change and is modified as changes occur and tested at least annually for updates and revisions.

Clients can also request a copy of the full Business Continuity Plan by calling Michael Bates, Chief Operating Officer & Chief Compliance Officer at (256) 704-5111.