

Arete Wealth Management, LLC's Business Continuity Planning

Arete Wealth Management, LLC has developed 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 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 information on our business continuity plan.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at (312) 940-3684, you should call our alternative number, (312) 203-4580. If you cannot access us through either of those means, you should contact our clearing firm, National Financial Services, LLC, at (800) 877-2410 for instructions on how it may provide prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions for you.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back-up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm, National Financial Services, LLC, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 1 business day. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the 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 a local site when needed and expect to recover and resume business within 48 hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and

resume business within 5 business days. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at (312) 940-3684

Attachment A
Branch List

Chicago, IL (Headquarters)

1115 W Fulton Market, 3rd Floor
Chicago, IL 60607
312-940-3684

Birmingham, AL

800 Shades Creek Pkwy, Suite 460
Birmingham, AL 35209
205.874.9299

Scottsdale, AZ

6424 E. Greenway Pkwy, Suite 149
Scottsdale, AZ 85254
858.207.4817

Campbell, CA

2105 S Bascom Ave, Suite 245
Campbell, CA 95008
408.888.7017

Carlsbad, CA

6005 Hidden Valley Rd, Suite 290
Carlsbad, CA 92011
858.217.5347

Century City, CA

1875 Century Park East, Suite 600
Century City, CA 90067
310.407.5400

San Diego, CA

3636 Nobel Dr, Suite 440
San Diego, CA 92122
858.455.1825

San Diego, CA

3131 Camino Del Rio North, Suite 370

San Diego, CA 92108
619.906.4499

San Diego, CA

12760 High Bluff Dr, Suite 110
San Diego, CA 92130
858.257.4646

San Francisco, CA

109 Olympia Way
San Francisco, CA 94131
415.258.1776

Santa Barbara, CA

925 de la Vina St, Suite 103
Santa Barbara, CA 93101
805.845.3092

Woodland Hills, CA

6320 Canoga Ave, Suite 1500
Woodland Hills, CA 91367
818.533.1911

Englewood, CO

7887 East Belleview Ave, Suite 1100
Englewood, CO 80111
303.768.0520

Farmington, CT

790 Farmington Ave, Bldg 3
Farmington, CT 06032
860.677.7755

Westport, CT

320 Post Rd West, Suite 210
Westport, CT 06880
203.303.7036

Palm Beach, FL

2875 South Ocean Blvd, Suite 200
Palm Beach, FL 33480
561.666.6700

Atlanta, GA

3715 Northside Pkwy, Suite 4-250
Atlanta, GA 30327
404.666.5000

West Des Moines, IA - Insight

6600 Westown Pkwy, Suite 190
West Des Moines, IA 50266
515.273.1333

West Des Moines, IA - Silvercap

1200 Valley West Dr, Suite 104
West Des Moines, IA 50266
515.225.4141

Crystal Lake, IL

1 North Virginia St, Suite D
Crystal Lake, IL 60014
815.940.4650

Park Ridge, IL

626 Busse Hwy
Park Ridge, IL 60068
847.268.3670

Opelousas, LA

4670 I-49 N Service Road
Opelousas, LA 70570
337.948.8186

Wenham, MA

300 Main St
Wenham, MA 01984
617.413.9057

Annapolis, MD

61 Cornhill St
Annapolis, MD 21401
443.926.9226

Clayton, MO

8000 Maryland Ave, Suite 1031

Clayton, MO 63105
314.725.2000

Creve Coeur, MO

745 Craig Rd, Suite 308A
Creve Coeur, MO 63141
314.786.2119

Kirkland, MO

214 N Clay Ave, Suite 210
Kirkwood, MO 63122
314.238.7444

Portsmouth, NH

40 Pleasant St
Portsmouth, NH 03801
781.405.1967

Lake Oswego, OR

32 Wilbur St
Lake Oswego, OR 97034
503.372.9489

Pittsburgh, PA

320 Fort Duquesne Blvd, Suite 235
Pittsburgh, PA 15222
412.627.2870

Memphis, TN

775 Ridge Lake Blvd, Suite 150
Memphis, TN 38120
901.767.5755

Southlake, TX

950 E State Hwy 114 #160
Southlake, TX 76092
817.329.8059

Vienna, VA

8500 Leesburg Pike, Suite 209
Vienna, VA 22182
202.536.4468

Vienna, VA

8000 Towers Crescent Dr, Suite 1250

Vienna, VA 22182
703.462.9475