

Uphorizon, LLC ("UH") has developed a Business Continuity Plan outlining how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are unpredictable, we remain flexible in our responses as events unfold. We are providing this information to keep you informed about our business continuity strategies.

Contacting Us: In the event of a significant business disruption, you can reach us via email at contact@uphorizon.us.

Our Business Continuity Plan: We aim to quickly recover and resume business operations after a significant disruption by safeguarding our employees and property, conducting financial and operational assessments, protecting the firm's books and records, and enabling our customers to continue transacting business. Our plan is designed to allow us to resume operations as swiftly as possible, depending on the scope and severity of the disruption.

Our business continuity plan addresses:

- Data backup and recovery
- All mission-critical systems
- Financial and operational assessments
- Alternative communications with customers, employees, and regulators
- Alternate physical locations for employees
- Impact on critical suppliers, contractors, banks, and counterparties
- Regulatory reporting
- Ensuring our customers have prompt access to their funds and securities if we are unable to continue business

Varying Disruptions: Significant business disruptions can vary in scope, affecting just our office, the entire city, or the whole region. The severity can also range from minimal to severe. In such events, we have plans to relocate to backup locations or enable remote operations as necessary. Regardless of the situation, we plan to continue business operations and will notify you via email on how to contact us. If a disruption is so severe that it prevents us from remaining in business, we will ensure our customers have prompt access to their funds and securities.

For More Information: If you have questions about our business continuity planning, please contact us at contact@uphorizon.us.