Western Wealth Management Client Business Continuity Overview

Revised May 7, 2020

The following is a general description of plans in place at Western Wealth Management, LLC (“WWM”) to maintain business continuity in the event that operations are disrupted for any reason. We also present general contact information and description of contingency plans for our custodians.

Our firm’s policy is to respond to a Significant Business Disruption (“SBD”) by safeguarding employees’ lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the firm’s books and records, and allowing our customers to transact business.

Contingency planning at Western Wealth Management

Our two major components are:

1. Business contingency plans. These are specific, formal plans to respond to a range of incidents—from worst-case scenarios, such as loss of a data center, buildings, or staff, or occurrences such as power outages or excessive phone volumes. Plans are regularly reviewed and updated to accommodate changes in contingency requirements.
2. Data security and recovery. To mitigate computer virus attacks and other acts of cyber terrorism, we have implemented controls and monitoring of information security.

Maintaining business as usual

Whether the disruption occurs at our locations, citywide, or in our region, we are prepared to relocate technology and operations personnel to pre-assigned alternate locations, including working from home. Our three Denver-area office locations are:

- 440 Indiana St, Golden, CO 80401
- 5251 One DTC Pkwy, Suite 1045, Greenwood Village, CO 80111
- 6000 Greenwood Plaza Blvd, Suite 100, Greenwood Village, CO 800111

Steps you can take if Western Wealth Management, LLC is interrupted

In the event that WWM experiences a significant business interruption, you may contact the appropriate custodian or broker-dealer of your account(s).

LPL Financial

To contact LPL Financial for account transactions or updates:

- Call (800) 558-7567
- Mail to: LPL Financial, 4707 Executive Drive, San Diego, CA 92121-3091
- https://www.lpl.com/contact-us.html
- https://www.lpl.com/disclosures/business-continuation-plan.html

Charles Schwab & Co., Inc.

To contact Schwab for account transactions or updates:

- Call (800) 435-4000
- Mail to: Charles Schwab, Attn: Service Team, PO Box 982603, El Paso, TX, 79998-2603
- https://www.schwab.com/public/schwab/client_home/contact_us
- https://www.schwab.com/legal/continuity

Fidelity Investments

To contact Fidelity for account transactions or updates:

- Call (800) 343-3548
- Mail to: Fidelity Investments, PO Box 770001, Cincinnati, OH 45277
- https://www.fidelity.com/customer-service/overview
- https://www.fidelity.com/customer-service/business-continuity

Contact us with any questions

Please contact Western Wealth Management during normal business hours at 720-206-1390 or by email at info@wwa-wwm.com.