

Business Continuity Plan

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SENDERO®

WEALTH MANAGEMENT

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To our Clients and Prospective Clients:

Sendero Wealth Management, LLC (“Sendero” or the “Firm”) is committed to protecting its employees, clients and their assets, at all times, including during emergencies or significant business disruptions. The Firm’s Business Continuity Program has been developed to provide a reasonable, but not absolute, assurance of business continuity in the event of a disruption to the Firm’s normal operations.

As part of this commitment, and in compliance with internal policies and industry regulations, the Firm has developed and implemented a Business Continuity Plan. The Plan is developed by identifying the business’ critical risks and documenting the functional requirements needed to reestablish essential business operations. The Plans document the actions and procedures to be followed before, during, and after a prolonged service outage resulting from the loss of operational facilities, critical information systems, or essential personnel. In instances by which business processes require recovery from a significant operational disruption, the Plans include off-site recovery environments, work-area displacement agreements, and/or work-from-home arrangements.

The Firm conducts annual disaster recovery exercises, designed to ensure computing systems and networks are built with sufficient redundancies. The Firm also requires its staff to conduct an annual contact exercise to ensure all personnel, particularly recovery team personnel and their alternates, can be contacted at any time, on short notice. In addition, plans are tested throughout the year in an effort to ensure that the Firm and its clients are provided with a recovery solution most conducive to their needs.

The Firm relies on the availability, capacity, and reliability of information technology. Our office has a corresponding back-up/disaster recovery site that is established away from the Firm’s primary facilities. In an effort to ensure that applications are

restored within a period of time acceptable to business, applications have been prioritized, and their recovery requirements are based off that prioritization.

The Firm's incident management team is responsible for the coordination of communication and response procedures in the event of a disruption or possible disruption to normal operations. Included in the incident management team's responsibilities is the communication of the Plans with regulatory agencies and key business partners. Members of the incident management team, and its procedures and protocols, have been documented in the Plans.

Hard copies of the disclosure statement can be obtained by contacting your representative of the Firm.

The Plans are confidential and proprietary in nature and are therefore not made available for public distribution.