



March 14, 2022

# Business Continuity Plan

## Triangle Wealth Management

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Triangle Wealth Management (“TWM”), in compliance with FINRA Rule 4370 (“Business Continuity Plans and Emergency Contact Information”), has developed a Business Continuity Plan (the “Plan”) to outline how we will respond to events that significantly disrupt our business. The Plan was designed to help ensure that the essential advisory activities and business operations performed by TWM for its clients are able to continue if faced with unanticipated events or circumstances that leave the normal systems, operations, procedures, sites, or employees inoperable.

Since the timing and impact of disasters and disruptions are unpredictable, we will be flexible in responding to actual events as they occur.

### Contacting Us

Triangle Wealth Management has one location at 1301 Annapolis Drive, Raleigh, NC 27608.

If after a significant business disruption (“SBD”) you are unable to reach us at our office, please call Paul Reynolds, Founder and Chief Executive Officer at 919.523.2879 or Cathy Thomas, Chief Operating and Chief Compliance Officer at 919.931.5134, or visit our website at <https://trianglewealth.com>.

If you need access to your account to sell a position or request a check before we are able to re-establish our telephone service please contact Charles Schwab, our custodian, at 800.515.2157 and they will assist 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 Plan is designed to permit our Firm to resume operations as quickly as possible, given the scope and severity of a significant business disruption.

Our Plan addresses: data backup 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.

Charles Schwab Institutional backs up our important records in a geographically separate area. While every emergency poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our custodian that their objective is to restore its own operations and to be able to complete existing transactions and accept new transactions and payments within a reasonable time period. However, your orders and requests for funds and securities could be delayed during this period.

### TriangleWealth.com

1301 Annapolis Drive • Raleigh, NC 27608

Local: 919.838.3221 • Toll Free: 877.678.5901

Registered Investment Advisor



## Varying Disruptions

Significant business disruptions can vary in their scope and impact such as only our Firm, our office building, 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 the event of a disruption to only our Firm or our office building, we will transfer our operations to remote locations where employees have remote access through the Firm's Virtual Private Network ("VPN"). We will continue operations from an alternate location and/or implement remote work from home until the event is resolved. We expect operations to be available within a few hours.

If there is a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, recover, and resume business as quickly as possible. In any situation, we plan to continue business, transfer any operations to our custodial firm if necessary and notify you through our website, email, or with a phone call with instructions on how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure you prompt access to your funds and securities.

## Communications between the Firm and Customers, Employees, and Regulators

### Customers

We communicate with our customers using the phone, email, U.S. mail, courier, and in person visits at our office or at alternative locations. In the event of a SBD, we will assess which forms of communication are still available and use the option that is closest in speed and method (written or oral) to how we have historically communicated with that customer.

### Employees

We communicate with our employees using the phone, email, and in person. In the event of a SBD, we will assess which forms of communication are still available and use the option that is closest in speed and method (written or oral). TWM typically communicates with employees via e-mail and given our employees' remote access capability, we expect to use e-mail as our primary form of communication. If for any reason, email is not available, the Firm maintains a call list that contains every employee's home address, mobile phone number, and home phone number, if applicable.

### Regulators

We communicate with our regulators using the phone, email, and U.S. mail. In the event of a SBD, we will assess which forms of communication are still available and use the option closest in speed and method (written or oral) to communicate with the regulators.

## Updates and Review

TWM will update this Plan whenever there is a material change to our operations, business, or location. In addition, TWM will review the BCP annually to make any necessary updates to reflect changes in our operations, business, location, or regulatory developments.

If you have questions about our Business Continuity Planning, please feel free to contact us.

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