

## **Academy Asset Management, LLC. Business Continuity Planning**

**Academy Asset 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 (SBD), you cannot contact us as you usually do at 919-537-0093 you should call our alternative number 646-745-0167 or go to our firm website at [www.academyassetmanagement.com](http://www.academyassetmanagement.com).

**Our Business Continuity Plan** – We plan to quickly recover and resume business operations after an SBD 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 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.

**Client Access to Funds and Securities** - The designated custodian(s) maintains custody of customers’ funds or securities. If a client needed immediate access to their account, and for any reason could not contact the Company, the client could contact his or her custodian(s) directly. The Company will use the most efficient and available forms of communication to provide instructions on how clients can contact the custodian(s) directly. If available, the Company will post on the Company website the contact information for the designated custodian(s). Copies of certain client records are also maintained by the custodian(s) holding the client's assets. The Company can access client records from the custodian as needed.

**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. Depending on the severity of the external SBD, the Company’s response may include a notice to clients via regular mail or electronic communication. If the SBD does not affect the Company’s ability to continue to operate from the primary location(s) of the Company, the the Primary Disaster Recovery Coordinator (“DRC”) will provide Associated Persons with instructions based on the impact of the disruption. If the SBD affects the primary location of the Company, the DRC will notify all critical personnel of next steps and provide direction to each Associated Person as to whether or not they will be required to report to the alternate recovery location.

**For More Information** – If you have questions about our business continuity plan, you can contact us at [mboyd@academyalpha.com](mailto:mboyd@academyalpha.com).