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Form ADV

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Our Business Continuity Plan

OnPointe 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 must 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.

We plan to quickly recover and resume business operations after a business disruption of any sort. Our first priority will be the safety of our employees and the privacy of your personal information. In addition, we will take immediate steps to safeguard our property, make a financial and operational assessment, protect the firm's books and records, and take necessary steps to allow our customers to transact business as normal.

Our business continuity plan addresses: data back-up 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 accounts if we are unable to continue our business.

While every emergency situation poses unique problems based on external factors, we have been advised by our clearing firm and service providers that their objective is to restore their own operations and be able to process necessary transactions within one day. Your orders and requests for account transactions could be delayed during this period.

Business disruptions can vary in their scope and severity and may have only a minor impact or delay (such as a power outage of short duration). Others may be far more severe and may impact multiple OnPointe office locations or a large city or regional area. We have plans in place to continue operating at nearly full capacity within 24 hours of a severe business disruption to our headquarters or within our city. If necessary, our clearing firm will be able to take your calls and process your requests with only minimal disruption to our current service levels.

If you have further questions about our business continuity planning, please contact us at 800-395-0045.

Contacting Us

If after a business disruption you cannot contact us as you usually do at 800-395-0045, you should fax us at 707-765-5804 or e-mail us at Compliance@OnPointeAdvisory.net. If you cannot access us through these means, you should contact your investment advisor representative at his or her local office number or your custodian (for example Fidelity Investments or National Financial) for instructions on how you may receive prompt access to information on your accounts; enter orders; and process other trade-related, cash, and security transfer transactions.

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