

BUSINESS CONTINUITY PLANNING

Lincoln Investment Planning, LLC, (“Lincoln Investment”) is a registered broker-dealer and investment adviser and Capital Analysts, LLC, (“Capital Analysts”) is a registered investment adviser. Lincoln Investment and Capital Analysts are affiliates of Lincoln Investment Capital Holdings, LLC and are hereinafter referred to jointly as “The Lincoln Investment Companies,” “we,” “us,” “our,” or “the Firm.” All references to “you” include individual investors, joint investors and/or any non-natural person investors. The Lincoln Investment Companies have developed a Business Continuity Plan on how we will respond to events that could significantly disrupt our business operations. Since the timing and impact of disasters and disruptions are unpredictable, we will be flexible in responding to actual events as they occur. The severity of disruptions can also vary in scope, and our framework is designed to help us manage recovery of critical operations in the following situations:

- » Access to the primary location is possible, but a limited number of systems are inoperable.
- » Access is not possible, but all systems are fully operational.
- » Access is not possible, and all systems are inoperable.
- » Access is possible, and all systems are fully operational, but there is limited staffing available due to severe weather, transportation issues, or a pandemic outbreak.

We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making financial and operational assessments, 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 physical locations of employees; alternative means to communicate with customers, employees and regulators; critical supplier, contractor, bank and counter-party impact; regulatory reporting; backup telecommunications, systems, and data; and employee safety programs. Pershing LLC®, which provides clearing, custody, and other brokerage services to us, backs up our important records in a geographically separate area.

If the disruption is limited to your financial professional’s local area, you may access your funds and securities and request transactions directly through our Service Center at 888-508-4780, or our alternative number, 800-242-1421, Option 1. If you cannot access us through either of these phone numbers, you may also call the phone number listed on your brokerage account statement.

This business continuity plan is reviewed, updated and tested on a regular basis and is meant to provide for the continuation of investor services in the event of a disruption.

While no contingency plan can eliminate all risk of service interruption or temporary impediments to account access, we will assess and update the Firm’s plans to mitigate all reasonable risk. Our business continuity plan is subject to modification. Any modifications to this disclosure will be promptly posted to our websites (www.lincolninvestment.com and www.capitalanalysts.com). Investors may at any time request a written copy by mail at Lincoln Investment, Attn: Business Continuity Planning Department, 601 Office Center Drive, Suite 300, Fort Washington, PA 19034.

Advisory services offered through Lincoln Investment or Capital Analysts, Registered Investment Advisers.
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