



Evolve Business Continuity Disclosure Document

Evolve 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 you cannot contact us as you usually do at 512-772-2675 or 1-888-557-0222, you should call your representative or go to our web site at www.evolvesec.com for more information. If you cannot access us through any of those means, you should contact our clearing firm, National Financial Services (NFS) on their Customer Service line, at 1-617-563-5977 to gain access to your funds and securities, enter orders and process other trade-related, cash, and security transfer transactions. Should you have accounts held directly with mutual fund or variable product companies, and neither ESI nor your representative can be contacted, there will be a phone number on your statement that you can call to execute transactions.

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 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 back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm, National Financial, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, our clearing firm has advised us that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 4 (four) hours. Your orders and requests for funds and securities could be delayed during this period. For more information on the NFS Business Continuity Plan, go to www.nationalfinancial.com and scroll to the bottom of the screen.

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. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site as quickly as possible. Business should be resumed within several days to one week. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business as quickly as possible. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site www.evolvesec.com or our representatives. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers receive information on how to access to their funds and securities promptly.

For more information – If you have questions about our business continuity planning, you can contact us at 512-772-2675 or 1-888-557-0222. Or, you may email us at kshade@evolvesec.com. This Business Continuity Plan is subject to modification at any time. Updates will be posted on our website or customers may request a written copy be mailed to them.