



Kaiser and Company

Investment Services • Investment Banking

BUSINESS CONTINUITY PLAN

Kaiser and Company/Kaiser Wealth Management (further referred to jointly as The Firm) have developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. The timing and impact of disasters and disruptions is unpredictable, therefore, The Firm will remain flexible in responding to events as they may occur.

Contacting Us - In the event of a business disruption, The Firm's clients should always contact their Registered Representative first. Registered Representatives should be the first point of contact for clients with questions about their accounts. If after a significant business disruption you are unable to contact your Registered Representative, please contact our firm at 888-379-4146 or 307-432-4146, please visit our web site at www.kaiserinvest.com. You will be provided with instructions on how to access funds and securities.

Our Business Continuity Plan - We plan to recover quickly and resume business operations as normal after a significant business disruption. We will respond to any significant business disruption 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 as normal. 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 the following: (1) data back-up and recovery, (2) all mission critical systems, (3) financial and operational assessments, (4) alternative communications with our customers, employees, and regulators, (5) alternate physical location of employees, (6) critical supplier, contractor, bank and counter-party impact, (7) regulatory reporting, (8) and assuring that our customers have prompt access to their funds and securities if we are unable to continue conducting business.

Our clearing firms back up the firm's 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, we have been advised by our clearing firms that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within a reasonable period of time. Your orders and requests for funds and securities may be delayed during this period.

Varying Disruptions - To the extent possible The Firm intends to continue doing business during any outages.

Scenario	Response	Recovery Time
Firm-only	The Firm will continue doing business. Phone lines will be redirected to Staff's personal cell phones. Staff members have the capability to continue servicing representatives/customers from their personal computers at their homes.	ASAP
Regional Outage	The Firm will continue doing business. Phone lines will be redirected to Staff's personal cell phones. Staff members have the capability to continue servicing representatives/customers from their personal computers at their homes.	ASAP

Inquiries may be directed to Kaiser and Company headquarters
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