

Business Continuity Plan Disclosure

Vertimass, LLC and its affiliated companies, including Shopoff Securities, Inc. and their subsidiaries, and related companies (collectively, “SSI”, “the Firm,” “us,” or “our”) is committed to safeguarding the interests of our clients and customers in the event of an emergency or significant business disruption. This Business Continuity Plan Disclosure (“BCP”) summarizes SSI’s effort to mitigate risks inherent with unforeseen business interruptions. This BCP is intended to comply with the rules promulgated by the Financial Industry Regulatory Authority (“FINRA”).

We plan to quickly recover and resume business operations after a significant business disruption. Our response will be to safeguard our employees and property, make a financial and operational assessment, protect the firm’s books and records, and allow customers to transact business.

Our business continuity plan addresses the alternative physical location of employees; data backup and recovery; fail-over for critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; critical business constituents, banks, and counter-parties; and regulatory reporting.

In the event of an epidemic or pandemic, all nonessential personnel shall continue working remotely from a safe location, such as their homes, in order to mitigate the spread of the contagion through social distancing. In the event of a mandatory shelter-in-place order, all personnel shall continue business operations remotely. We have electronically stored all our data and other important documents and are able to access them remotely if needed.

Incoming calls will be forwarded to the home or cell phone number of employees, if possible. We will utilize whatever means necessary to contact our clients, business partners, vendors, etc. including email, website, telephone, and mail.

SSI’s comprehensive business continuity plan is designed to enable us to meet our existing obligations to our clients and customers even in the event of an emergency or significant business disruption; however it is not infallible. The plan is designed to work in many different emergency situations though these events are inherently unpredictable, and it is impossible to anticipate every scenario that could cause a business disruption. Although we are confident in our own preparedness, SSI has no control over the various entities that we must rely upon in the event of an emergency. Our BCP is subject to annual reviews. If this BCP is modified, updated information will be provided on the corporate website as it is produced and will be available in hard copy upon request.

The information contained in this disclosure is provided by SSI for informational purposes only. Nothing contained herein shall be construed to amend, supplement or otherwise modify any of the terms and conditions set forth in any customer agreement between you and SSI.

Contacting Us

If you cannot contact us at (949) 417-4307 or at info@vertimass.com after a significant business disruption, please go to our web site www.vertimass.com.