Business Continuity Plan

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This "Business Continuity Plan" has been created to meet the requirements described in FINRA Rules 4370. This Business Continuity Plan is reasonably designed to enable our firm to meet its obligations to customers in the event of a Significant Business Disruption.

Authorized Approval Signature: _____

Printed Name & Title: _____

Date: _____

This Plan is effective from the date approved until the date of its authorized revision, update or replacement (see below).

Date this Plan was no longer effective (date of revision, update or replacement): _____

Recordkeeping: Discard after _____ (date three years from termination of use).

Introduction

On April 7, 2004, the Securities and Exchange Commission approved NASD Rule Series 3500 dealing with emergency preparedness. On December 14, 2009, these Rules were converted to FINRA Rule 4370 as part of the FINRA Rule Consolidation process. Rule 4370 requires each member to create and maintain a Business Continuity Plan (BCP) that identifies procedures relating to an emergency or significant business interruption that are "reasonably designed to enable the member to meet its existing obligations to its customers." In addition, the plan must address the firm's existing relationships with other members and counter-parties. This plan must be promptly made available to the FINRA staff upon request.

Rules 4370(b) requires that each member review its plan at least annually to determine if any changes are needed and update its plan more frequently in the event of any material change to its operations, structure, business or location.

The plan should reflect the firm's business and operations. Therefore, the requirements of the plan, as identified in Rule 4370, are flexible and should be tailored to the firm's size and needs.

However, at a minimum, Elevation, LLC's plan must address the following areas:

- Data back-up and recovery (hard copy and electronic);
- All mission critical systems;
- Financial and operational assessments;
- Alternate communications between customers and the member;
- Alternate communications between the member and its employees;
- Alternate physical location of employees;
- Critical business constituents, banks, and counter-party impact;
- Regulatory reporting;
- Communications with regulators; and
- How the member will assure customers' prompt access to their funds and securities in the event that the member determines that it is unable to continue its business.

Each firm is required to only address the elements applicable to its business, but the plan must contain an explanation if any element above is not included.

Rule 4370 requires each member to designate two individuals as emergency contacts that the FINRA may contact in the event of a significant business disruption. Each contact must be a registered principal or member of senior management. However,

- If the member has only one principal but has other employees, the second contact should be another firm employee, or
- If the firm has only one principal and no other employees, the second contact may be someone who has knowledge of the firm's business, such as an accountant, attorney, etc.

Rule 4370 also requires that each member enter this information into the FINRA's Contact System (NCS) at https://regfiling.finra.org/contacts/ncs_contacts.aspx and that required changes are made promptly.

1. Emergency Contact Persons

Elevation, LLC has designated the following individuals to act as contact persons for the firm as required under Rule 4370:

Primary Contact

Name, Title: Patrick Sheehan, CEO
Address: 214 N. Tyron Street, Suite 3010, Charlotte, NC 28202
Telephone Number: 704-926-1100
Fax Number: 704-926-1155
E-mail Address: psheehan@elevationllc.net

Secondary Contact:

Name, Title: Charlie Lucas, General Counsel Address: 214 N. Tyron Street, Suite 3010, Charlotte, NC 28202
Telephone Number: 704-926-1100
Fax Number: 704-926-1155

E-mail Address: clucas@elevationllc.net

These contacts will be reported through FINRA's Contact System. This system may be accessed directly at https://regfiling.finra.org/contacts/ncs_contacts.aspx or through the Firm Gateway at www.finra.org/firmgateway.and must be updated in the event of a material change. In addition, Elevation, LLC's Executive Representative or his written designee must review and update this information, if necessary, within 17 business days of the end of the calendar year. The Executive Representative or his/her designee will also ensure that contact information is updated promptly if changes occur at any time during the year.

Executive Representative:

Elevation, LLC's Executive Representative is Patrick Sheehan.

Disaster Recovery Coordinator/Team:

The Company has designated Patrick Sheehan, CEO as the "Disaster Recovery Coordinator". In his/her absence, Ed ward Majewski, Head of Operations will assume his/her responsibilities.

The "Disaster Recovery Coordinator" has the responsibility to make an immediate preliminary assessment of the nature and extent of the disruption by assessing the following: electricity supply; condition of computer network/phones; damage to the building; HVAC in extreme weather; and other hazards.

If the Coordinator determines that personnel should evacuate the affected location(s), he/ she must make an announcement to all personnel as to appropriate procedures. The announcement

may be given via personal contact, e-mail, intercom or other methods as appropriate given the systems available and size of staff and building. This announcement should be short and concise, should calmly identify the situation and should provide instructions to employees on how to respond. This announcement should be repeated as often as necessary to avoid confusion and to ensure all employees are aware of the situation. After ensuring the physical safety of Company personnel, the Coordinator must then implement this BCP.

If the situation does not merit evacuation, steps should be taken to alert designated persons of necessary actions to facilitate ongoing operations in the face of limited disruption. In this case, the Coordinator will determine which, if any, procedures in this BCP should be implemented.

In the event, the SBD has directly affected other areas of the building but has not directly impacted the Company's office, the Coordinator will contact building security or emergency personnel for instructions on how the Company should respond and proceed accordingly.

2. Firm Policy

Elevation, LLC's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the firm's books and records, and allowing its customers to transact business. In the event that it is determined the firm is unable to continue its business, the firm will assure customers prompt access to their funds and securities.

Significant Business Disruptions (SBDs):

Elevation, LLC's plan anticipates two kinds of SBDs, internal and external. Internal SBDs affect only the Company's ability to communicate and do business, such as a fire or loss of electrical power in the office or building.

External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a natural disaster, or another event that causes a wide-scale, regional disruption in essential services. The Company's response to an external SBD will rely more heavily on other organizations and systems, especially on the capabilities of the clearing firm, federal emergency authorities, local officials and utility companies. The firm's books, records and data are backed up in one of the branch locations along with the extensive backup facilities provided by our clearing firms, Merrill Lynch Broadcort and Sterne Agee & Leach.

Approval and Execution Authority:

Patrick Sheehan, CEO, a registered principal, is responsible for approving the plan and for conducting the required annual review and he has the authority to execute this BCP.

Plan Location and Access:

Elevation, LLC will maintain copies of its BCP plan, a record of the firm's annual reviews, and the changes that have been made to the BCP for inspection by regulators. A hard copy of the Company's Plan is located in its main business location and may be accessed by contacting Patrick Sheehan, CEO, 704-926-1100.

An electronic copy of the Company's plan is located internally on Server A, in the file folder, "Compliance". A back-up copy of this electronic file is maintained at Regulatory Compliance in Londonderry, NH.

A copy of the BCP will be provided to FINRA District Office #7 located in Atlanta, GA upon request.

3. Business Description

Elevation, LLC is an introducing firm and does not perform any type of clearing function for itself or others. Furthermore, we do not hold customer funds or securities. We accept and enter orders and all transactions are sent to our clearing firms, Merrill Lynch Broadcort and/or Sterne Agee & Leach, and they enter, compare, allocate, clear, settle all trades and submit OATS & TRACE reporting as required by FINRA. Our clearing firm also maintains our customers' accounts, they can grant our customers access to their accounts and deliver funds and securities. Our clients can contact MLB representatives at 201-557-4405 for liquidating orders, check and wire requests and ACAT transfers. Contact information for Sterne Agee & Leach is 205-414-7289. The Firm will make this information available through its disclosure policy. Elevation, LLC services only institutional customers.

The company's clearing firm is Merrill Lynch Broadcort. They also have a clearing agreement for US Equity through Sterne Agee and Leach. In the event the firm is unable to operate, clients can contact Ralph Posimato, 201-557-4405, Ralph.posimato@baml.com for liquidating orders, check and wire requests and ACAT transfers with Merrill Lynch Broadcort. The number provided should only be used then the firm's BCP is in effect and should not be used to check on the status of Elevation during the disruption of services. Merrill Lynch Broadcort has given us the following alternative contact in the event the primary contact cannot be reached: Rob Bothe, 201-557-3873, rob.bothe@baml.com, www.broadcort.com. The contact person for Sterne Agee & Leach is Scott Yarbrough, syarbrough@sterneagee.com, 205-414-7289, www.salclearing.com or www.sterneagee.com. The Alternate contact for that clearing firm is their Operations Desk at 888-678-3763.

4. Office Locations

The Company or its registered personnel currently operate from the following locations:

Type of Location, Registered or Unregistered	Address and Main Phone Number	Located in a Personal Residence? (Y or N)	Means of Transportation Employees Use to Reach Office	Mission Critical Systems Taking Place at Office
Home Office	214 N. Tyron St. Suite 3010, Charlotte, NC 28202	N	Car, foot, plane	order taking, entry, execution, comparison, allocation.
OSJ	350 Madison Ave., 11th Floor, New York, NY 10017	N	Car, Subway, Train, Foot, Plane	order taking, entry, execution, comparison, allocation.

Branch Office - registered	1720 Post Road East Westport, CT 06880	N	Car, Foot, Plane, Train	order taking, entry, execution, comparison, allocation.
Branch Office – registered	One Broad Street Red Bank, NJ 07701	N	Plane, Train, Car	order taking, entry, execution, comparison, allocation.
Branch Office – registered	1067 E. Indiantown Rd. Ste 414 Jupiter, FL 33477	N	Plane, Train, Car	Strictly sales outpost office; no execution or order taking activities
Branch Office – Registered	3361 Route 100 Pittsfield, VT 05762	N	Plane, Train, Car	order taking, entry, execution, comparison, allocation.

Alternative Physical Location(s) of Employees:
In accordance with Rule 4370(c)(6) requires that each member designate a location at which business will be conducted in the event the primary office of the Company must be evacuated. In accordance with this requirement, Elevation, LLC will move critical members of its staff from affected offices to the Company's closest unaffected office locations. If none of the Company's other office locations is available to receive staff, they will relocate to the representatives individual residences.

5. Customers' Access to Funds and Securities

Elevation, LLC does not maintain custody of customers' funds or securities. Customer accounts are maintained at our clearing firms, Merrill Lynch Broadcort and Sterne Agee and Leach.

In the event of a SBD:

1. If telephone service is available, our registered persons will:
    a. take customer orders or instructions and contact our clearing firm on their behalf, or
    b. provide information to the customer with information on contacting the clearing firm; and
2. If Web access is available, the firm will post on our Web site that customers may access their funds and securities by contacting the clearing firm, Merrill Lynch Broadcort.

The Company will make this and additional information regarding accessing funds and/or securities available to customers through its disclosure policy (below).

The firm does not maintain custody of customers' funds or securities.

If SIPC determines that the Company is unable to meet its obligations to its customers or if the Company's liabilities exceed its assets in violation of Securities Exchange Act Rule 15c3-1, SIPC may seek to appoint a trustee to disburse the Company's assets to its customers. Elevation, LLC will assist SIPC and the trustee by providing applicable books and records identifying customer accounts subject to SIPC regulation.

6. Data Back-Up and Recovery (Hard Copy and Electronic)

Elevation, LLC maintains its primary books and records in hard copy and electronically at 214 N. Tryon Street, Suite 3010, Charlotte, NC 28202. Patrick Sheehen, CEO is responsible for the maintenance of these books and records.

Elevation, LLC maintains the following document types and forms that are not transmitted to the clearing firm: new account forms, agreements, organization docs, and financial statements.

Back-up of Paper Records:
Elevation, LLC maintains a back-up copy of its paper books and records at 214 N. Tryon, Charlotte, NC in hard copy and/or electronically. Patrick Sheehan is responsible for the maintenance of these back-up books and records. The firm backs up its paper records by copying and taking the back-up to the back-up location. The Company creates a back up its records every day.

In the event of an internal or external SBD that causes the loss of the firm's paper records, the Company will physically recover them from its back-up site and or from its clearing firm. If the Company's primary site is inoperable, it will continue operations from its back-up site or an alternate location.

Back-up of electronic records:

The Home Office backs up its electronic records daily by copying all files to a disk and keeps a copy of this back-up at with NAS Vault Services a NetGear Company.

In the event that electronic records are lost, the Company will either physically recover the storage media or electronically recover data from its back-up site, or, if the Company's primary site is inoperable, continue operations from its back-up site or an alternate location.

7. Financial and Operational Assessments

Operational Risk:

In the event of an SBD, Elevation, LLC will immediately identify any methods available that will permit personnel to communicate with customers, other employees, critical business constituents, critical banks, critical counter-parties, and regulators.
Although the effects of an SBD will determine the means of alternative communication, the communication options the Company may employ will include telephone voice mail and secure

e-mail. In addition, Elevation, LLC will retrieve key activity records as described in the section above, Data Back-Up and Recovery (Hard Copy and Electronic).

Financial and Credit Risk:
In the event of an SBD, Elevation, LLC's FINOP will determine the value and liquidity of its investments and other assets to evaluate the Company's ability to continue to fund its operations and remain in capital compliance.

Elevation, LLC will contact its clearing firm, critical banks, and investors to apprise them of the Company's financial status. If the Company determines that it may be unable to meet its obligations to those counter-parties or otherwise continue to fund its operations, Elevation, LLC will request additional financing from our bank or other credit sources to fulfill its obligations to our customers and clients. If Elevation, LLC cannot remedy a capital deficiency, the FINOP will file appropriate notices with applicable regulators and immediately take appropriate steps, including suspension of certain business activities, contacting SIPC, and/or temporary lay-off of non-essential personnel.

In the event of a suspension or termination of the Company's business, the Company will attempt to notify customers regarding the situation and provide them with instructions for accessing their funds or securities, if applicable, for verifying transactions in process or for conducting future business. Notification will be a form allowed based on the circumstances permitted by regulatory authorities and may include telephone calls, letters or a posting on the Company's website.

8. Mission Critical Systems

Internal Mission Critical Systems

Elevation, LLC's "mission critical systems" are those that ensure prompt and accurate processing of securities transactions, including order taking, entry, execution, comparison, allocation, clearance and settlement of securities transactions, the maintenance of customer accounts, access to customer accounts, and the delivery of funds and securities.

The Company has primary responsibility for establishing and maintaining business relationships with customers and has sole responsibility for the Company's mission critical functions of order taking, order entry and order execution.

Order Taking
Currently, the Company may receive orders from customers via telephone, fax, e-mail, instant messaging, and regular mail and in person. During an SBD, the Company will continue to take orders through any of these methods that are available and reliable.
The Company will inform its customers what alternatives they have to send their orders to us in the event traditional methods are interrupted. Customers will be informed of alternatives by disclosure information provided when a new business relationship is established and by calls from personal cell phones, if phone services affected, through messages via email or posted on

the Company's website or other means available. If necessary, the Company will advise its customers to place orders directly with our clearing firm at 201-557-4405.

Order Entry/Submission
Currently, Elevation, LLC enters orders by recording them on paper and/or electronically and sending them to its clearing firm electronically.

In the event of an internal SBD, the Company will send orders to its clearing firm by the fastest alternative means available, which may include alternative telephone facilities, including cell phones, messenger or courier, external e-mail connections. In addition, during an internal SBD, the Company may refer customers directly to the clearing firm for placing orders.

In the event of an external SBD, the Company will maintain the order in electronic or paper format, and deliver the order to the clearing firm by the fastest means available when it resumes operations.

Order Execution

The Company does not execute orders. All orders are executed through the Company's clearing firm. See below for information on the clearing firm's mission critical systems.

<u>Mission Critical Systems Provided by Our Clearing Firm</u>

The Company's clearing firm provides, through contract, the execution, comparison, allocation, clearance and settlement of securities transactions, the maintenance of customer accounts, access to customer accounts, and the delivery of funds and securities.

Elevation, LLC's clearing agreement, or addendum thereto, provides that the clearing firm will maintain a business continuity plan and the capacity to execute that plan.

Merrill Lynch Broadcort and Sterne Agee and Leech represent the following:

1. It will advise the Company of any material changes to its plan that might affect Elevation, LLC's ability to maintain its business and present the Company with an executive summary of its plan.
2. In the event the Company's clearing firms executes its plan, it represents that it will notify the Company of such execution and provide the Company equal access to services as its other customers.
3. If, either clearing firm determines that it has not or cannot put its plan in place quickly enough to meet Elevation, LLC's needs, or is otherwise unable to provide access to such services they represent that it will assist the Company in seeking services from an alternative source.
4. Each clearing firm backs up the Company's records at a remote site and that it operates a back-up operating facility in a geographically separate area with the capability to conduct the same volume of business as its primary site.

In addition, the Company's clearing firms have also confirmed the effectiveness of its back-up arrangements to recover from a wide scale disruption by testing, and it has confirmed that it tests its back-up arrangements routinely.

Recovery-time objectives provide concrete goals to plan for and test against. They are not, however, hard and fast deadlines that must be met in every emergency situation, and various external factors surrounding a disruption, such as time of day, scope of disruption, and status of critical infrastructure—particularly telecommunications—can affect actual recovery times. Recovery refers to the restoration of clearing and settlement activities after a wide-scale disruption; resumption refers to the capacity to accept and process new transactions and payments after a wide-scale disruption. Merrill Lynch Broadcort and Sterne Agee and Leach have the following SBD recovery time and resumption objectives: recovery time period of 4 to 12 hours*;* and resumption time of 4 to 24 hours..

9. Alternate Communications Between the Firm and Customers, Employees, and Regulators

Customers

The Company currently communicates with our customers using the telephone, e-mail, U.S. mail, and in person visits at our firm or at the other's location.

In the event of an SBD, we will assess which means of communication are still available to us, and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party. For example, if we have communicated with a party by e-mail but the Internet is unavailable, we will call them on the telephone and follow up where a record is needed with paper copy in the U.S. mail.

Employees

The Company currently communicates with its employees using the telephone, e-mail, instant messaging and in person.

In the event of an SBD, we will assess which means of communication are still available to us, and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party.

The Company will also employ a call tree so that senior management can reach all employees quickly during an SBD, if telephone service is available. The Disaster Recovery Coordinator and/or Emergency Management Team will be responsible for invoking the call tree. The call tree will include all staff home and office phone numbers.

Caller	Call Recipients
Patrick Sheehan	*Due to the size of the firm, a separate document is maintained in the home office detailing each callers call recipients.*

Edward Majewski	
Jonathan Kornblatt	
Thomas Sheehan	
Charlie Lucas	

Regulators

The Company is currently a member of FINRA and is registered with the SEC.

The Company is registered to conduct business in the following states: CA, CO, CT, DE, FL, GA, IL, MA, MD, MI, MN, MO, NC, NJ, NY, PA, TX, VT, USVI, VA.

Elevation, LLC communicates with applicable regulators using the telephone, e-mail, fax, U.S. mail, and in person.

In the event of an SBD, we will assess which means of communication are still available to us, and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party.

10. Critical Business Constituents, Banks, and Counter-Parties

Business constituents

Elevation, LLC has contacted our critical business constituents (businesses with which the Company has an ongoing commercial relationship in support of its operating activities, such as vendors providing critical services), and determined the extent to which the Company can continue its business relationship with these businesses in light of the internal or external SBD. The Company will quickly establish alternative arrangements if a business constituent can no longer provide the needed goods or services when we need them because of a SBD to them or our firm.

Our major suppliers are:

Business Constituent	Phone Number
Merrill Lynch Broadcort	201-557-4405
Windstream (telephone and internet)	800-600-5050
SMARSH	866-SMARSH1
Bloomberg	212-318-2000
NAS NetGear	https://vault.readynas.com/default.aspx
Sterne Agee and Leach	205-414-7289
Regulatory Compliance	603-434-3594
Box.Net	1-800-875-8230

Banks

Elevation, LLC has contacted its banks and lenders to determine if they can continue to provide the financing that the Company may need in light of the internal or external SBD. The Company's accounts are currently with the following institutions:

Types of account (i.e. checking, savings, PAIB, escrow)	Name of Financial Institution	Address of Financial Institution	Telephone Number	Contact Name
Checking	Wachovia	Providence Road, Charlotte, NC 28207	704-333-8585	Michelle Niemanich
Money Market	Wachovia	Providence Road, Charlotte, NC 28207	704-333-585	Michelle Niemanich

If our banks and other lenders are unable to provide the financing, we will seek alternative financing immediately from other lenders.

Counter-Parties
Elevation, LLC has contacted our critical counter-parties, such as other broker-dealers or institutional customers, to determine if we will be able to carry out our transactions with them in light of the internal or external SBD. Where the transactions cannot be completed, we will work with our clearing firm or contact those counter-parties directly to make alternative arrangements to complete those transactions as soon as possible.

11. Regulatory Reporting

Elevation, LLC is subject to regulation by the FINRA and SEC, as well as various state and other securities regulators (see list of states in Part 10 – Regulators)

The Company currently files reports with our regulators using paper copies in the U.S. mail, and electronically using fax, e-mail, and the Internet. In the event of an SBD, we will check with the SEC, FINRA, and other regulators to determine which means of filing are still available to us, and use the means closest in speed and form (written or oral) to our previous filing method. In the event that we cannot contact our regulators, we will continue to file required reports using the communication means available to us.

The Company's current regulators can be reached as follows:

FINRA District Number 7 – Atlanta, GA:
Address: One Securities Center, Suite 500, Atlanta, GA 30305-4808
Phone: 404-239-6100

SEC Atlanta Regional Office
Address: 3475 Leonx Road, N.E., Suite 1000 Atlanta, GA 30326-1232
Phone: 404-842-7600
E-mail (if known): Atlanta@sec.gov

Please refer to the NASAA's website at www.nasaa.org for addresses of state regulators.

12. Disclosure of Business Continuity Plan

The Company will disclose in writing a summary of our BCP to customers at account opening or at the time a business relationship is established. The Company will notify customers in writing when material changes are made to the Plan than may affect their business relationship with the Company. The Company will also mail it to customers upon request.

The summary addresses the possibility of a future SBD and how we plan to respond to events of varying scope. In addressing the events of varying scope, the summary:

1. Provides specific scenarios of varying severity (e.g., a firm-only business disruption, a disruption to a single building, a disruption to a business district, a city-wide business disruption, and a regional disruption);
2. States whether we plan to continue business during that scenario and, if so, our planned recovery time; and
3. Provide general information on our intended response.

Our summary also discloses the existence of back-up facilities and arrangements. A copy of the Company's disclosure statement is included at the back of this Plan.

13. Updates and Annual Review

The Company will update this plan whenever there is a material change to its operations, structure, business or location or to those of the clearing firm.

The Company's BCP will be reviewed and modified, if necessary, at least annually, but no later than within 12 months of the date on which this Plan was put into effect or previously reviewed, to take into account any changes in the Company's operations, structure, business, or location or those of our clearing firm.

Elevation, LLC

Elevation, LLC plans to quickly recover and resume business operations after a significant business disruption (SBD) 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 company's business continuity plan (BCP) is designed to permit us to resume operations as quickly as possible, given the scope and severity of the SBD.

The BCP 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 funds and securities if we are unable to continue our business.

Our clearing firms, Merrill Lynch Broadcort and Sterne Agee and Leach, 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, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 4 to 12 hours. Your orders and requests for funds and securities could be delayed during this period.

Significant Business Disruptions: The Company's plan takes into account two kinds Significant Business Disruptions, internal and external. Internal SBDs affect only the Company's ability to communicate and do business, such as a fire or loss of electrical power in the office or building.

External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a natural disaster, or another event that causes a wide-scale, regional disruption in essential services.

Internal SBDs: In the event of a disruption in the Company's business operations due to an internal SBD, the Company will attempt to continue to conduct business as usual by utilizing alternative communication methods (if available), such as the Internet, cell phones, etc., or by moving its operations to an alternative location.

If personnel or operations must be moved to an alternate location, the Company anticipates that it will resume regular operations with 4 to 12 hours.

External SBDs: In the event of a disruption in the Company's business operations due to an external SBD, the Company will attempt to continue to conduct business as usual by moving its operations to an alternative location outside the affected area, if possible, or by providing

customers with alternative communication arrangements, as indicated below, to conduct business or to access their funds and securities.
The Company will attempt to resume business within 24-48 hours and to keep its customers informed regarding relevant events to the best of its ability based on the circumstances.

In all cases, the Company will resume normal business operations as soon as it is able to do so, based on the type and the extent of the disrupting event.

If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

Communications: In the event you are unable to reach the Company at our main number, please proceed as follows:

1. Contact the Company at the following alternate telephone number: 704-340-5892

2. Access the Company's website at www.elevationllc.net.

3. Contact the clearing firm directly at one of the following telephone numbers to process transactions or for information on your holdings: Merrill Lynch Broadcort at 201-557-4405 and Sterne Agee and Leach at 205-414-7289.

4. Access the clearing firm's websites for more information on contacting this entity and their business continuity plans. The website address can generally be found on your statement or offering documents.

5. Contact FINRA's District office at the following telephone number for more information on the company's status and additional instructions:

   District 7 – Atlanta, GA
   One Securities Center, Suite 500
   3490 Piedmont Road, NE
   Atlanta, GA 30305-4808
   404-239-6100
   Fax: (404) 237-9290

   Daniel J. Stefek, Director

Contact information: Any questions regarding the Company's Business Continuity Plans should be addressed to: Patrick Sheehan, 704-926-1100.