

2/22/2017



## Business Continuity Plan

For more

General guidance and background: Please see NASD Notice to Member (NtM) 04-37.

information please see:

[www.gao.gov](http://www.gao.gov)

[www.sec.gov](http://www.sec.gov)

[www.thebci.org](http://www.thebci.org)

[www.fsscc.org](http://www.fsscc.org)

[www.londonprepared.gov.uk/businesscontinuity](http://www.londonprepared.gov.uk/businesscontinuity)

### Emergency Contact Persons

Vista Point Advisor's emergency contact person is:

#### **Michael Lyon**

Office: +1 415.722.3506

email: [mike@vistapointadvisors.com](mailto:mike@vistapointadvisors.com)

These names will be updated in the event of a material change and our Executive Representative will review them within 17 business days of the end of each quarter. (Rule: NASD Rule 3520)

### Firm Policy

Our firm'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 our customers to transact business. In the event that we determine we are unable to continue our business, we will inform our customers to contact the issuers with any questions regarding funds and/or property.