

Business Continuity Plan Summary

Sawtooth has created a Business Continuity Plan with the following objectives:

- To ensure the life/safety of all employees throughout the emergency condition, disaster declaration, and recovery process.
- To reestablish the essential organization related services provided by Sawtooth Asset Management within their required recovery.
- To suspend all non-essential activities until normal and full organization functions have been restored.
- To mitigate the impact to Sawtooth's customers through the rapid implementation of effective recovery strategies.
- To reduce confusion and misinformation by providing a clearly defined command and control structure.

The administration of the Business Continuity Plan is managed by Sawtooth's Information Security Committee. The plan is built around a business impact analysis framework, which is a functional analysis resulting in a matrix of business functions, each function's criticality level, and the resources necessary to complete the function. Each function is assigned a "Survival Time" and an "Operations Impact" ranking. The product of these rankings equals the Criticality Ranking, which is used to prioritize resource assignment in times of crisis.

Sawtooth's cloud centric operations are heavily dependent on internet access and telephone service. Sawtooth utilizes Voice over iP telephone service, so the availability of telephones is tied directly to the availability of internet access. Sawtooth maintains redundant internet connections and has a changeover policy for outages described below.

Internet Access: If internet access is unavailable through Comcast, the primary internet source (150Mbps business-class broadband), the firm will immediately use the back-up source, which is a 3mbps Ethernet over Copper connection provided by AiTech. In the event that both internet services are unavailable, VoiP phones can be routed to cell phones and computers can have access to the internet via a wireless hotspot.

In the event that none of our primary internet back-up procedures are effective, employees will be instructed to work from home using their personal internet services and computing devices.

Sawtooth's best-of-breed solution relies on the availability of third party vendor's solutions. In order to mitigate the risk of a third-party vendor outage causing an outage in our service, Sawtooth completes annual reviews of critical vendors' BCPs and Disaster Recovery plans.

In the event of a disaster involving the loss of office equipment, Sawtooth maintains insurance sufficient to replace such equipment.