Business Continuity Planning Summary

Since the timing and impact of disasters and disruptions is unpredictable, Rogan & Associates, Inc. has developed a Business Continuity Plan to guide us if we must respond to events that significantly disrupt our business. We will be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If, after a significant business disruption, you cannot contact us as you usually do at (727) 712-3400, you should go to our web site (www.roganfinancial.com) for instructions. If our web site does not provide information about how to access your funds or securities during a business disruption, and if your account is carried by Charles Schwab, call Schwab's Customer Services Line at (800-435-4000) to receive instructions as how to access funds and securities and to enter orders and process other trade-related, cash, and security transfer transactions. For accounts held by outside vendors, such as mutual funds and insurance companies, you may contact the vendor directly to receive the instructions. Their contact information may be found on your statements.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption 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 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: 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.

Varying Disruptions – Significant business disruptions can vary in their scope. A disruption might be limited to just our Firm, or a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within two hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within one business day. In either situation, we plan to continue in business, and notify you through our web site (www.roganfinancial.com) or message left on our telephone main number (727-712-3400) with further instructions on how to contact us. If the significant business disruption is so severe that it prevents us from doing business, we will assure our customer's prompt access to their funds and securities.

For more information – You may request a copy of our full business continuity plan at any time. If you have questions about our business continuity planning, you can contact us at (727) 712-3400.