

Transitional Broker, LLC – Disclosures.

Anti-Money Laundering Requirements - Customer Identification Program Notice

Important Information You Need to Know About Opening a New Account

To help the government fight the funding of terrorism and money laundering activities, Federal law requires financial institutions to obtain, verify, and record information that identifies each person who opens an account.

This notice answers some questions about Transitional Broker's Customer Identification Program.

What types of information will I need to provide?

When you open an account, Transitional Broker is required to collect information such as the following from you: Name; Date of birth; Address; Identification number:

- U.S. citizen: taxpayer identification number (Social Security number or employer identification number)
- Non-U.S. citizen: taxpayer identification number; passport number and country of issuance; alien identification card number; or government-issued identification showing nationality, residence, and a photograph of you

You may also need to show your driver's license or other identifying documents.

A corporation, partnership, trust, or other legal entity may need to provide other information, such as its principal place of business, local office, employer identification number, certified articles of incorporation, government-issued business license, a partnership agreement, or a trust agreement. If you are establishing an account for a legal entity, we will ask for the names, addresses, dates of birth, and other identification information of the beneficial owners of the legal entity. Additionally, we may request identifying information on the individuals or entities that have control over and/or ownership associated with an account.

U.S. Department of the Treasury, Securities and Exchange Commission, FINRA, and New York Stock Exchange rules already require you to provide most of this information. These rules also may require you to provide additional information, such as your net worth, annual income, occupation, employment information, investment experience and objectives, and risk tolerance.

TRANSITIONAL BROKER'S Business Continuity Planning:

Transitional Advisor has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible and proactive 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 801-855-8886 or email: admin@Lonepeakadvisers.com, you should call our alternative number at 714-721-6340 or go to our website at www.Lonepeakadvisers.com .

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

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sustain or resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup 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, such as only our firm, 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. 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 as soon as possible. In either situation, we plan to continue in business, and notify you through our website www.Lonepeakadvisers.com or our customer emergency number at 385-336-3563 on how to contact us.

For more information – If you have questions about our business continuity planning, you can contact us at phone: 801-855-8886 or email: bmunson@Lonepeakadvisers.com

FINRA Information

Investor information may be obtained at the FINRA website (www.finra.org) or by contacting FINRA at [301.590.6500](tel:301.590.6500).

- [FINRA BrokerCheck](#) - A free tool to help investors research the professional backgrounds of current and former FINRA-registered brokerage firms and brokers (or call the FINRA BrokerCheck Hotline at [800.289.9999](tel:800.289.9999))
- [FINRA Investor Alerts](#)

SIPC Disclosure:

TRANSITIONAL BROKER is a member of the Securities Investor Protection ("SIPC"), which provides account protection for the net equity of a customer's funds and securities positions. SIPC provides \$500,000 of primary net equity protection, including \$250,000 for claims for cash ("SIPC Coverage"). Visit www.sipc.org for more information about SIPC Coverage. Account protection applies when a SIPC member firm fails financially and is unable to meet its obligations to its securities customers, but does not apply to losses from the rise or fall in the market value of investments or to SIPC ineligible assets such as futures, foreign exchange transactions, or any investment contracts that are not registered as securities.