

# AssetMark Business Planning Update

## Coronavirus Disease (COVID-19)

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AssetMark is closely monitoring the news around the coronavirus disease (COVID-19) outbreak and actively taking steps to protect the health and safety of our employees and prevent disruptions in the service we provide our clients.

To ensure the continuity of critical services to our clients and plan for the protection of our employees, company assets, and information, AssetMark's Business Continuity Management Plan utilizes a holistic approach. We integrate traditional IT system recovery processes (Disaster Recovery Plan) with employee safety and disaster preparedness, crisis management planning, and business continuity planning.

A cross-functional planning committee—with representation across the entire firm—is actively planning and testing how to respond to near-term and long-term disruptions stemming from COVID-19. During this time, this team meets at least once daily and updates our executive team frequently.



### Continued Business and Operational Support

Identification and prioritization of mission critical business processes constructed from a business impact analysis include:

- Owners for each process
- Recovery time objectives of critical technology associated with these processes
- Resources required to perform mission critical functions during an event

Continuity planning for critical business functions in short-term (less than one week) and long-term (greater than one week) scenarios:

- Short-term continuity plans call for remote office functionality for mission critical groups, including the call center, trading team, and account operations
- Long-term incident scenarios call for mission critical groups to relocate to alternate work locations, as appropriate

Many of our mission critical groups have implemented cross-training for critical processes among similar departments in alternate AssetMark locations to assist in the continuity of business functions when one location is impacted. Additionally, our call center has team members located in multiple locations.

We have also identified alternate employees to make key decisions, should essential personnel—members of our executive team, for example—become unavailable.



### Information Security and Infrastructure

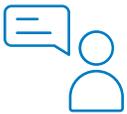
Our IT team has reviewed our infrastructure to ensure that we can continue to serve our clients in the case of an increase in remote work and/or shifting of critical tasks from one location to another.

Production systems reside in a Tier 3 data center with physical and infrastructural measures in place.

Production server data is backed up in real-time through data mirroring technologies to disaster recovery servers that are located at an alternate disaster recovery location.

Should associates need to work remotely, network computer hardware and software is safeguarded to prevent unauthorized access to computer equipment, software, and information located on computer systems. AssetMark has implemented multifactor authentication for all remote network access; email and VPN access are restricted to only US states and authorized international vendors. All laptops are encrypted to protect against data theft.

We are actively assessing the risk level of our vendors and other parties that we rely on. We are conducting a detailed review of their business continuity plans and contingency planning to ensure we can continue critical business functions.



### Communications

We have an internal and external communication plan in place to ensure that our business continuity plan and real-time updates can be effectively communicated to both our employees and clients in a timely manner. While we continue to assess specific messaging needs, we are actively communicating the following:

- Practice good hygiene to control the spread of germs
- Review business travel and limit and/or cancel all non-critical business travel
- Exercise an abundance of caution and self-quarantine for a period of 14 days if the employee or any members of their household have potentially been exposed or traveled to impacted areas

Our planning team will continue to review and refine our current plans and policies, adapting them as needed for the situation at hand.

**We are committed to serving our clients and ensuring the health and safety of our employees. If you have any questions about our business continuity plan or steps you can take to maintain the health and well-being of your office, please contact your AssetMark Consultant or Advisor Services at [advisorservices@assetmark.com](mailto:advisorservices@assetmark.com).**

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