



Ridgeview Capital Business Continuity Plan

This Business Continuity Plan outlines how Ridgeview Capital will respond to events that significantly disrupt our ability to conduct business. Since the timing and impact of disasters and disruptions are unpredictable, we will remain flexible in responding to actual events as they occur.

Contacting us - If, after a significant business disruption you are unable to reach our office at 801-456-1400, you may call 801-556-2671 or send an email to bstohl@ridgeviewcap.com. You may also call 801-577-2248 or email cmertz@ridgeviewcap.com.

Our Business Continuity Plan - The firm's plan of business continuity is to recover and resume regular operations as quickly as possible after any significant business disruption and respond by safeguarding employees and property, making financial and operational assessments, protecting the firm's books and records, and allowing our customers to continue 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 any significant disruption.

The details of the Business Continuity Plan address: data back-up and recovery; all mission critical systems; financial and operational assessments; alternative means of communication 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 investments if we are unable to continue regular business.

While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we will work to be back in business as quickly as time permits. Attempts to contact us during this period could be delayed however we will respond as appropriately as the situation provides.

Varying Disruptions - Significant business disruptions can vary in scope, ranging from incidents just within the firm to city-wide or regional issues. Within each of these the severity of the disruption can vary from minimal to severe. In a disruption to only our firm or building, we will transfer our operation to a local site when needed and expect to resume business within three business days. In a disruption affecting our district, city or region, we will transfer our operation to a site beyond the affected area and will resume as soon as possible. In either situation we plan to continue operations and will notify customers via our web site, ridgeviewcap.com, or by reasonable contact. If the disruption is so severe that it prevents us from remaining in business, we will assure our customers prompt access to their investments.

If you have questions about our business continuity planning, feel free to contact us at 801-456-1400 or info@ridgeviewcap.com. Or, you may request the full Business Continuity Plan by writing to BCP Administrator, Ridgeview Capital, 723 W. Pacific Avenue, Suite 100, Salt Lake City, UT 84104.