

WestPark Capital, Inc. Business Continuity Planning Disclosure

WestPark Capital has developed a Business Continuity Plan designed to permit the firm to continue operations and provide customers with access to funds and securities in the event of a significant business disruption.

Because the timing and impact of disasters and disruptions are unpredictable, WestPark Capital will have to be flexible in responding to actual events. Depending upon the nature of the disruption, customers may be directed to contact our clearing firm, AXOS Clearing LLC, directly to access accounts, obtain information, or conduct transactions.

WestPark Capital does not maintain custody of customer funds or securities. Customer accounts, funds, and securities are maintained by our clearing firm, AXOS Clearing LLC.

In the event of a significant business disruption, customers may contact:

WestPark Capital, Inc.
1800 Century Park East, Suite 220
Los Angeles, CA 90067
(310) 843-9300

or

AXOS Clearing LLC
(866) 774-0218

WestPark Capital periodically reviews and updates its Business Continuity Plan and tests elements of its business continuity capabilities as appropriate.

Customers may request a copy of WestPark Capital's Business Continuity Plan Disclosure Statement by contacting the Firm at (310) 843-9300.