Business Continuity Planning Disclosure
Last Updated: July 2026

WestPark Capital, Inc. (“WestPark Capital” or the “Firm”) 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, nature, and impact of disasters and other disruptions are unpredictable, WestPark Capital’s response will depend upon the nature and scope of the event. A disruption may affect only a WestPark Capital office or may affect a broader geographic area, market, service provider, or communications infrastructure. Depending upon the circumstances, the Firm may continue operations through unaffected office locations, approved remote-access arrangements, and alternative communications.

WestPark Capital reasonably expects critical business functions to be restored within 24 hours under most disruption scenarios. Actual recovery times, however, may vary depending upon the nature and severity of the disruption and the availability of critical infrastructure and third-party service providers.

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 be directed to contact AXOS Clearing LLC directly to access their accounts, obtain account information, or conduct transactions, as appropriate.

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 to address material changes to the Firm’s operations, structure, business, locations, or critical service providers and periodically tests elements of its business continuity capabilities, as appropriate.

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