

M. AUSTIN INVESTMENTS, LLC

BUSINESS CONTINUITY PLANNING

Introduction

In line with our regulatory requirements, M. Austin Investments, LLC 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 be flexible 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 our business emails and phone numbers, you should go to our website at www.maustininvestments.com. If you cannot access us through our website, you should contact your custodian, Charles Schwab, for instructions on how it may provide services related to your account.

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 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; alternate communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, banks, 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.

Our custodial firm, Charles Schwab, backs up our clients' important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our custodial firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments as soon as possible. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions

Significant business disruptions can vary in their scope, such as only our firm's office, 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 the event of a significant business disruption, we have plans in place to move to a back-up location or remote locations as necessary. In either situation, we plan to continue in business, transfer operations to our custodial firm if necessary, and notify you how to contact us through our website [www.maustininvestments.com]. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

For more information

If you have questions about our business continuity planning, you can contact our Chief Compliance Officer, Nathaniel Kaup, at nate@maustininvestments.com.