

## AGHAZ INVESTMENT ADVISORS, LLC

### BUSINESS CONTINUITY PLANNING (BCP)

Aghaz Investment Advisors, LLC (“Aghaz Investment Advisors,” “AIA,” the “Adviser,” “Company,” the “Firm,” “we,” “us” or “our”), a Delaware limited liability company, is an investment adviser registered with the Securities and Exchange Commission (the “SEC”) pursuant to the Investment Advisers Act of 1940, as amended (the “Advisers Act”). The Company has been registered with SEC since May 14, 2020. The Company is based in Dallas, Texas. The Founder and Chief Executive Officer is Mr. Khurram Agha. The Company is classified as a registered investment adviser under the SEC Rule 203A-2(e) (“Exemption from Prohibition on Commission Registration”) of the Advisers Act, which creates an eligibility to operate as a registered investment advisor under the Exemption from Prohibition on Commission Registration, provided the elements of that rule are met. Aghaz Investment Advisors has developed a Business Continuity Plan with respect to how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to 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. For additional information in connection with our policies and procedures please contact us.

**Contacting Us** – The Firm is a Sharia-compliance advisory firm. To be Sharia compliant, companies and investments must pass several screens for permissible asset classes and business activities. The Company’s portfolio management and investment advisory services are offered to clients (each a “Client” and collectively, “Clients”). The types of Clients to which Aghaz Investment Advisors provides investment management services are more fully disclosed in the Firm’s Form ADV Part 1A and summarized in Item 7 – Types of Clients of the Firm’s Form ADV Brochure. We require that Clients utilize the custody, brokerage and clearing services of a Custodian (the “Custodian”) for investment management accounts. Our recommended Custodians are independent and unaffiliated broker-dealers registered with the SEC specifically as a broker-dealer member of the Financial Industry Regulatory Authority (“FINRA”) and the Securities Investor Protection Corporation (“SIPC”). We are independently owned and operated and not affiliated with these custodians. They provide us with access to their institutional trading and custody services. Each custodian, as a provider of such services clears all transactions with and for customers on a fully disclosed basis and maintains and preserves such books and records pertaining thereto pursuant to the requirements of Rule 17a-3 and 17a-4, as are customarily made and kept by a clearing broker or dealer. If after a significant business disruption, you cannot contact us as you usually do by phone at (425) 202-6196 or via email at [info@aghazinvest.com](mailto:info@aghazinvest.com), you should go to our website at <https://aghazinvest.com>.

**Our Business Continuity Plan** – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our financial advisors, employees and property, making a financial and operational assessment, protecting the Firm’s books and records, and allowing our clients 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; operational assessments; alternative communications with customers, financial advisors, employees, and regulators; alternate physical location of employees; critical supplier impact; regulatory reporting; and assuring our customers prompt access to their securities if we are unable to continue our business.

**Customers’ Access to Funds and Securities** - Aghaz Investment Advisors does not take custody of Client assets (other than deducting management fees when authorized) and is not a broker-dealer. The Firm may recommend that clients use certain non-affiliated third parties for custodian and brokerage services. Aghaz Investment Advisors is not affiliated with any company that it refers Clients to for custody and/or brokerage services. Examples of companies that Aghaz Investment Advisors may refer Clients to for custodian and brokerage services include, but are not limited to firms such as, Fidelity Brokerage Services, LLC (“Fidelity”). To this end, the unaffiliated clearing firms, hold electronic copies of 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 each respective clearing firm that its sole objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments as soon as practicable. Your orders and requests for funds and securities could be delayed during this period. To contact each respective custodian in the event that Aghaz Investment Advisors is not accessible, please reach out directly to the custodian.

**Varying Disruptions** – Significant business disruptions can vary in their scope, such as only our Firm, 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 either situation, we plan to continue in business and notify you through our website <https://aghazinvest.com>. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our clients prompt access to their account information.

**Emergency Contact Persons** - Our firm’s emergency contact persons are Mr. Khurram Agha, Chief Executive Officer. This will be updated in the event of a material change.

**For more information** – If you have questions about our business continuity planning, you can contact us at is (425) 202-6196.