

KSG Advisor's Business Continuity Plan Disclosure Summary

KSG Advisors 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 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. This notice refers to KSG Advisors and its parent company, Keystone Global Holdings, LLC., and we refer to such companies collectively herein using the terms “we”, and “our”.

Why We Collect Your Information – We gather information about you so that we can (i) know who you are and thereby prevent unauthorized access to your information, (ii) design and improve the services we offer and (iii) comply with the laws and regulations that govern us.

What Information We Collect – We may collect the following types of ‘nonpublic personal information’ about you: Information about your identity, such as your name, address and social security number; and Information about your personal financial profile, such as your risk tolerance levels, goals and objectives, assets, liabilities, savings and investments.

What Sources We Obtain Your Information From – We collect nonpublic personal information about you from the following sources: (1) Information we receive from you on contracts or other forms; (2) Information about your transactions with our affiliates, or others; and/or (3) If you visit our website, information we collect via a web server, is often referred to as a cookie. Cookies indicate where a site visitor has been online and what has been viewed.

What Information We Disclose – We do not disclose any nonpublic personal information about our customers or former customers to anyone, except to affiliates, as permitted or required by law, or for regulatory compliance. Moreover, we will not release information about our customers or former customers unless one of the following conditions is met: (1) We receive your prior written consent, (2) We believe the recipient to be you or your authorized representative; or (3) We are required by law to release information to the recipient.

Confidentiality and Security – We maintain physical, electronic and procedural safeguards to guard your personal information. We also restrict access to your personal and financial data to our authorized associates who have a need for these records. We require all nonaffiliated organizations and vendors to keep client data confidential and use appropriate security measures to protect it. They must also be contractually obligated to keep the information provided confidential and used as requested. Furthermore, we will continue to adhere to the privacy policies and practices described in this notice even after your account is closed or becomes inactive.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at 516-882-4095, you should contact us at info@keystoneglobaladvisors.com or go to our website at www.keystoneglobaladvisors.com.

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.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, 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 a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business as soon as reasonably possible, given the circumstances. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area and recover and resume business as soon as reasonably possible, depending on the circumstances. In either situation, we plan to continue in business, and notify you through our website www.keystoneglobaladvisors.com or our customer emergency number, how to contact us. 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, as applicable.

For more information – If you have questions about our business continuity planning, you can contact us at 516-882-4095.

Last updated: July 2023