

HENDERSON ASSET MANAGEMENT, LLC

2025 Business Continuity Plan

HENDERSON ASSET MANAGEMENT, LLC has a Business Continuity Plan to address how we will respond to local, regional, or global events that may significantly disrupt our business. Because the timing and impact of disasters and disruptions are 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.

Contacting Us – If after a significant business disruption, you are unable to contact us as you usually do at 1.360.608.8650 or email diana@hendersonassetmanagementllc.com, you should contact Diana's daughter, Emily Lake at 360.608.5360. If you are unable to reach any of us, you should contact our Clearing Firm and Custodian, Charles Schwab & Co., Inc. at 877.774.3892 or Interactive Brokers, LLC at 877.442.2757 for prompt access to your account, or to enter orders and process other trade-related, cash and security transfer transactions. If you are unable to reach Diana, Emily, or the Custodian, you may contact the Oregon Division of Financial Regulation at 888.877.4894 or email DFR.FinancialServicesHelp@oregon.gov.

Continuity Plan – We plan to recover quickly and resume business operations after a significant business disruption and respond by safeguarding our 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; alternative

HENDERSON ASSET MANAGEMENT, LLC, FINRA FIRM CRD# 150876
Physical Location: 2900 NW Clearwater Drive, Suite 100, Bend, OR 97703
Mailing Address: 320 SW Century Drive, Suite 405-394, Bend, OR 97702
Tel. 1.360.608.8650 diana@hendersonassetmanagementllc.com

communications with customers, employees, and regulators; alternative physical location of employees; critical supplier, contractor, bank, and counter-party impact; regulatory reporting; and assuring our clients prompt access to their funds and securities if we are unable to continue our business.

HENDERSON ASSET MANAGEMENT, LLC and our Clearing Firm/Custodian, Charles Schwab & Co., Inc., or Interactive Brokers, LLC back up important records in a geographically separate area. While every emergency poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 48 hours. 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, a single building housing our firm, the 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 within 48 hours.

In a disruption that is affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area and will strive to recover and resume business within 48 hours.

In either situation, we plan to continue in business, transfer operations to Charles Schwab & Co., Inc. and/or Interactive Brokers, LLC, if necessary, and notify you through whatever method is available. If the significant business disruption is so severe that it prevents us from remaining in business, we will ensure our clients' prompt access to their funds and securities.

In the event of Diana's incapacitation or demise, Diana's daughter, Emily Lake, will notify our clients, Charles Schwab & Co., Inc. and/or Interactive Brokers, LLC, FINRA for filing Oregon Division of Financial Regulation.

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You will always be able to access your accounts through Charles Schwab & Co., Inc., or Interactive Brokers, LLC unless they have also been affected by the same problem that we are facing at that time or any other unforeseen issue.

For more information – If you have questions about our business continuity planning, you may contact us at 360.608.8650 or diana@hendersonassetmanagementllc.com.

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