



In a disruption affecting our business district, city, or region, we will rely on our clearing firm to handle urgent business matters until we transfer our operations to a site outside of the affected area.

BUSINESS CONTINUITY

Disclosure Policy

Trubee Wealth Advisors, Inc. has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. We intend to continue operations as much as is reasonably possible, and we have back-up systems in place that will guarantee our Customers' prompt access to their funds and securities.

Since the timing, scope, impact and degree of disruptions are unpredictable (such as only our firm, the building housing our firm, local business district, city/region, etc.), we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this summary of information on our business continuity plan.

CONTACTING US

During a significant business disruption, you should contact us as you usually do at (716) 849-1401 or (800) 836-4050 and follow the contact information and/or instructions indicated in the greeting.

Office personnel will transition to remote locations in the event of a significant but *localized* business disruption; this transition will be completed in a matter of hours. Please do not call with routine inquiries, but only with matters of importance. All telephone calls, email, U.S. mail, and overnight packages will be forwarded to the remote location(s).



As a client of Trubee Wealth Advisors, Inc., we recognize you may need access to your account to sell a position or request a check before we can re-establish telephone or other communication services with you. During this time, our clearing firm, Wells Fargo Clearing Services, LLC, will assist you with only sell (liquidation) equity, option and mutual fund orders and provide check disbursements, as required. If you cannot contact our firm by any means, please call Wells Fargo Clearing Services, LLC for assistance at 877-496-3223.

Our clearing firm, Wells Fargo Clearing Services, LLC, regularly backs up its important information 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, Wells Fargo Clearing Services, LLC has a thorough Business Continuation Plan in place. Wells Fargo Clearing Services, LLC has advised us that its objective is to restore its own operations in order to complete existing transactions and accept new transactions and payments in a timely manner.

Website: www.WellsFargoClearingServicesLLC.com



PRIVACY PLEDGE AND NOTIFICATION

Trubee Wealth Advisors, Inc. respects your right to privacy. We have always been committed to securing the confidentiality and integrity of your personal information. We are proud of our privacy practices and want our current and prospective customers to understand what information we collect and how we use it.

Why We Collect Your Information

We gather information about you and your accounts so that we can (i) know who you are and thereby prevent unauthorized access to your information, (ii) design and improve the products and 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;
- Information about your transactions with us;
- Information we receive from you on applications, such as your beneficiaries or income.

What Sources We Obtain Your Information

We collect nonpublic personal information about Trubee Wealth Advisors, Inc. clients from the following sources:

- Information we receive from you on applications or other forms;
- Information about your transactions with us, our affiliates, or others;
- If you visit our web site, information we collect via a web server - 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 as permitted by law. Moreover, we will not release information about our customers or former customers unless one of the following conditions is met:

- We receive your prior written consent;
- We believe the recipient to be you or your authorized representative;
- We are required by law to release information to the recipient.

We only use information about you and your account to help us better serve your investment needs or to suggest services or educational materials that may be of interest to you.

Confidentiality and Security

We maintain physical, electronic and procedural safeguards to guard your personal account information. To further protect your privacy, our website uses the highest levels of Internet security, including data encryption, user names and passwords, and other tools. We also restrict access to your personal and financial data to authorized Trubee Wealth Advisors, Inc. associates who have a need for these records. We require all nonaffiliated organizations to conform to our privacy standards and are 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.

We strive to maintain complete and accurate records about you and your accounts. If you ever believe the records are inaccurate or incomplete, please notify us immediately. If you believe we have reported inaccurate information about your account to any consumer-reporting agency, please notify us in writing. Include your name, address, social security number, phone number, account number, type of account, specific item of dispute and the reason you believe the information is wrong. Send your notice to: Trubee Wealth Advisors, Inc., 600 Airborne Parkway, Suite 120, Buffalo, NY 14225 or Wells Fargo Clearing Services, LLC, One North Jefferson Avenue, St. Louis, MO 63103. We will investigate and correct any inaccuracies we find.

If you have any questions or complaints you wish to address with the management of Trubee Wealth Advisors, Inc. please contact our Compliance Officer, William R. Pictor, 600 Airborne Parkway, Suite 120, Buffalo, NY 14225 [(716) 849-1401]. We will continue to conduct our business in a manner that conforms with our pledge to you, your expectations, and all applicable laws.



Member of FINRA and SIPC

MSRB Rule G-10 2022 Annual Notice

Trubee Wealth Advisors, Inc. is registered with the U.S. Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB)

The website address for the MSRB is: www.MSRB.org

Posted on the MSRB's website is an investor brochure for your review. This brochure describes the protections that are provided to you by the Municipal Securities Rulemaking Board rules.