

*Investment Planning Solutions*  
2135 N. 7<sup>th</sup> Street  
Grand Junction, CO 81501

## CONTINGENCY/DISASTER RECOVERY PLAN

This policy outlines Investment Planning Solutions (the "Firm") immediate and long-term contingency planning and recovery process. The purpose of this Contingency and Disaster Recovery Plan is to provide specific guidelines for the Firm to follow in the event of a failure of any critical business capability.

### **If the physical files of the Firm are destroyed.**

The Firm uses an offsite redundant and FINRA approved data storage facility. In the event of a failure, earthquake, tornado, fire, flood or other catastrophe which either destroys, disables or denies access to the computers at the physical address for the Firm the data will be accessed, recovered and restored through the use of a portable computer. The Firm can also request that the acting custodian(s), provide all necessary documentation (Client information Statements, all types of Account Information Forms, IRA adoption agreements, margin agreements, powers of attorney, trust documents, account statements, and in the case of direct business, copies of new account applications).

All client information (general information such as name, address, phone, date of birth, social security numbers, and specific account information including account numbers) is stored in the Firm's Client database held at Docupace. Required passwords and specific usernames are held securely in a password protected computer and backup drives. A hard copy backup of the files held at Docupace is made daily, rotated monthly and retained in a safety deposit box maintained by Patrick Griggs at Alpine Bank in Grand Junction.

### **If the electronic files of the Firm are destroyed.**

The Firm will restore from its FINRA approved electronic backup at Docupace all pertinent Firm and client records.

### **If the phones of the Firm are out for an extended period.**

The Firm will request that our phone carrier add a message to our line directing all incoming calls to a series of cell phone, or alternate business numbers. Calls can be forwarded by remote to the cell phone for Patrick Griggs (970-260-2705) and/or Brooke Wooten (970-712-4621).

### **If the offices of the Firm become uninhabitable or destroyed.**

The Firm will initiate the procedures outlined above for the recovery of electronic and/or physical files, for phone service outage, and for business computers being unusable. The Firm will acquire new office space as quickly as possible. In the meantime, the Firm will operate from the home offices of its employees or at another location as determined by Patrick Griggs and Brooke Wooten. The Firm will direct the US Post Office to hold its mail at its facility for pickup.

### **Notification of Authorities and Others.**

The Firm will notify appropriate authorities, NEXT Financial Group and other parties immediately, or as necessary. If a disaster occurs, every effort will be made by the Firm to contact all clients. This will either be done by phone calls, emails, general mailing, and/or posting a message on the Firm website. A list of all clients can be obtained by utilizing the client master list and the CRM system currently being utilized by the Firm.

### **Review of the Business Continuity Plan.**

The Business Continuity Plan will be reviewed whenever there are any major changes within the Firm or changes in leadership personnel.