



## **Business Continuity Statement for Investment Advisory Clients**

Risk Assessment, disaster prevention and disaster avoidance are critical components of Investment Security Group's (ISG's) contingency planning process. The implementation ISG's Business Continuity Plan outlines how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we have to be flexible in responding to actual events as they occur. With that in mind, we are providing you this information on our business continuity plan.

**Contacting us** – If after a significant business disruption you cannot contact at 303-759-9808, you should go to our website at [www.investsg.com](http://www.investsg.com) or e-mail ISG's operations manager, Cindy Steiner at [cindy@investsg.com](mailto:cindy@investsg.com). If you cannot access us through either of those means, you should contact Charles Schwab & Co., Inc. using the contact information listed below:

**Charles Schwab & Co., Inc.** – In the event that ISG experiences a significant business interruption, Charles Schwab may be contacted directly to process limited trade-related transactions, cash disbursements and security transfers. Instructions to Charles Schwab must be in writing and transmitted via facsimile or postal service as follows: 9899 Schwab Way, Suite 100, Lone Tree, CO 80124, fax 1-877-255-1983. You may also contact Charles Schwab by calling 1-800-515-2157.

**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 business disruption.

Our business continuity plan addresses: disaster prevention, risk assessment, data back-up and recovery; all mission critical systems, financial and operational assessments; alternative communications with customers, employees and regulators; alternate physical location of employees; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our custody partner, Charles Schwab & Co., Inc. backs up our 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 our custody partners that their objective is to restore their own operations and be able to complete existing transactions and accept new transactions and payment within 4 hours. Your orders and requests for funds 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 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 the building housing our firm, we will transfer our business to a local site when needed and expect to recover and resume business within 4 hours. 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 within 6 hours. In either situation, we plan to continue business, transfer operations to Charles Schwab & Co. if necessary, and notify you through our website [www.investsg.com](http://www.investsg.com) how to contact us. If the significant business interruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

**For more information** – If you have questions about our business continuity planning, you can contact us at 303-759-9808.