



Fountain Strategies, LLC Business Continuity Plan Summary

Fountain Strategies, LLC (Fountain) is a Registered Investment Advisor in the State of California offering **financial planning** and **investment management** services to our clients. The four persons listed below are Investment Advisor Representatives (IAR's) of the firm, and they will be your **contact persons** in the event of a local or national business disruption.

Douglas M. Pease, P.O. Box 845 / 938 W. Carmel Valley Road, Carmel Valley, CA 93924,
831.298.7036 office phone; 831.905.5730 cell phone; 831.621.4640 FAX
doug@fountainstrategiesllc.com primary email; fontane6@yahoo.com secondary email

Austin W. Chinn, 3168 Kawalker Lane, San Jose, CA 95127
408.516.4682 office phone; 408.391.2219 cell phone
Austin@fountainstrategiesllc.com primary email; awchinnfp@gmail.com secondary email

Manorama K. Pai, 5319 University Drive #335, Irvine, CA 92612
949.737.1702 office phone
manorama@fountainstrategiesllc.com

Douglas M. Roesser, 127 Montecito Avenue #8, Monterey, CA 93940
831.643.1958 office phone
roesser@fountainstrategiesllc.com primary email; dmroesser3@gmail.com secondary email

All our communications, files, and daily access to clients and their investment accounts rely upon the internet. In the event of a disruption at one of our offices we will move business operations to an unaffected office. The four offices are connected by an online Virtual Personal Network (VPN) via the company server located in the Carmel Valley office. If the company server no longer functions, communication between IAR's and clients and supporting firms will shift to alternate online links, telephone, voicemail, fax, overnight delivery, and U.S. Postal Service mail, as necessary.

Financial planning data and strategies are stored in MoneyGuidePro, an online software application provided by PIE Technologies, Inc., available whenever and wherever IAR's and clients enjoy online access to the internet.

Locally, Fountain can shift to IAR home computer links to maintain **Investment Management communication** with clients and support services. Lost data files, including email, can be recovered from backup files. Effects of a local disruption on Investment Management operations would be limited in scope because Fountain does not exercise any discretionary powers over client accounts, does not custody any client assets, and does not require intensive transactions within client portfolios. During a significant business disruption our first response will be to relay transactions from another Fountain office that retains online access. An ultimate alternative available to clients during a disruption is for them to contact their custodian broker directly; for Fidelity Investments the phone number is 1.617.476.3977, and it would be prudent for clients to establish an ID and password now for direct access via www.fidelity.com.

Fountain subscribes to BridgePortfolio, Inc. (BP) in Chicago, IL for portfolio reporting services. BP provides us with daily access to historic custodial account data. BP portfolio performance reporting can be accessed for all clients by IAR's and by clients individually wherever and whenever there is access to the internet.

Please contact one of our IAR's if you have questions or comments about the Plan.