

## 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.

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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, if there is one. The four offices are connected to archived files and reports on the company server via an online Virtual Personal Network (VPN). Server files are backed up regularly to two external drives, one in the Carmel Valley office and the other stored off-premises. Email traffic and vital company operations files are archived on Google servers "in the cloud." In the event of a serious disruption, communication among 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 to clients and IAR's whenever and wherever they can achieve online access to the internet.

Locally, Fountain IAR's can shift to any available online connection, including mobile phone links, to maintain **investment management communication** with clients and support services. Effects of a local disruption to investment management operations would be limited in scope, since Fountain does not exercise discretionary powers over client accounts, does not custody client assets, and does not require intensive transactions within client portfolios. During a serious business disruption our first response will be to relay transactions from another Fountain office that might retain online, phone, or fax access. All Fountain clients have the ability to contact their custodian broker directly. For Fidelity Investments the phone number is 1.617.476.3977, and the online address is [www.fidelity.com/](http://www.fidelity.com/). Clients are encouraged to establish an ID and password necessary for such direct access. .

Fountain subscribes to BridgePortfolio, Inc. (BP) for client account daily **reporting**, monthly performance reporting, and account data archiving services. Individual accounts at BP can be accessed by clients and by IAR's 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.