

# Managing Your Portfolio in the Event of a Disaster

A disaster might affect our ability to help you manage your portfolio. Consequently, we maintain and regularly update a Business Continuity Plan (BCP) designed to minimize the impact of a disaster on our firm's operations, and to expedite our ability to restore normal operations.

The BCP includes four primary elements:

- How Schultz Collins protects your documents and data
- Our plans to restore normal business operations
- Alternate ways of contacting Schultz Collins, if normal channels are unavailable
- Procedures for accessing your assets directly

While we hope we never to have to use it, we want to share highlights of our BCP with you, so you will know how to manage your portfolio in the event of disaster.

## Protecting Your Documents and Data

Schultz Collins routinely backs up the data on our computer network to hard drives and tapes maintained at geographically remote locations. We scan all critical documents, and maintain backup copies electronically. Hard copies of historical documents are maintained at a secure offsite storage facility.

## Restoring Normal Operations

If we cannot access our San Francisco headquarters office, or if its systems are unavailable at our office, we will move to a back up facility. We maintain key information and document retrieval systems at our back up facility, and will operate from that location until more permanent arrangements can be established

## Contacting Schultz Collins in the Event of Disaster

If you learn of a disaster affecting San Francisco, our main line (415.291.3000 and (toll-free) 877.291.2205) are nationwide and should be reachable at all times. You can also visit our website ([www.schultzcollins.com](http://www.schultzcollins.com)), where we will post updates with further information. We will use these systems as an alternate communications channel and to keep clients apprised of our recovery plans.

## Accessing Your Assets Directly

All Schultz Collins client assets are held in custody at major financial institutions that maintain robust disaster recovery systems of their own. Should we be temporarily unavailable, you can deal with these custodians directly. Contact information for institutions used most frequently by our clients is as follows:

Schwab Institutional	800.515.2157	<a href="http://www.schwaballiance.com">www.schwaballiance.com</a>
Fidelity Investments	800.544.6666	<a href="http://www.fidelity.com">www.fidelity.com</a>
TD Ameritrade	800.431.3500 ext. 2	<a href="http://www.advisorclient.com">www.advisorclient.com</a>
Peoples/Monumental <sup>1</sup>	800.525.6205	<a href="http://www.transamerica.com">www.transamerica.com</a>
Vanguard	877.622.7447	<a href="http://www.vanguard.com">www.vanguard.com</a>

If your custodian is not listed above, and you do not already have contact information for them, please call us at 877.291.2205, and we will provide the information.

<sup>1</sup> Monumental, formerly Peoples Benefit, is a subsidiary of Transamerica.