

## **ICA, LLC Business Continuity Planning**

ICA, LLC (ICA) has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are unpredictable, ICA will have to be flexible in responding to actual events as they occur. With that in mind, ICA is providing clients with information on our business continuity plan.

**Contacting ICA** - If after a significant business disruption you cannot contact ICA, REIT Investment Group or Iroquois Capital Group, Inc. at 615-467-7600, 615-467-7609 or 615-467-7200, please go to our website at [www.iroquoiscapitalgroup.com](http://www.iroquoiscapitalgroup.com) or [www.reitinvestmentgroup.com](http://www.reitinvestmentgroup.com) for current contact instructions. Our email capabilities should remain in working order due to the fact that ICA utilizes an independent email servicing company. ICA has access to a secure data center with physical access controls from any location.

**Business Continuity Plan** – ICA plans to resume business operations after any significant business disruption 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. Our business continuity plan is designed to permit our firm to resume operations as quickly as possible.

Our business continuity plan addresses the following: data backup and recovery, all mission critical systems, financial and operational assessments, alternative communications with customers, employees, and regulators, alternate physical location of employees, critical supplier, contractor, bank and counter-party impact, regulatory reporting, and assuring our customers prompt access to their securities if ICA is unable to continue our business.

**Varying Disruptions** - Significant business disruptions can vary in scope and severity. Affected areas can include our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the entire region. In a disruption to only our firm or a building housing our firm, ICA will transfer our operations to a local site. Expected recovery time to resume business is within 4 hours. In a disruption affecting our business district, city, or region, ICA will transfer our operations to a site outside of the affected area. Expected recovery time to resume business is within 8 hours. In either situation, ICA plans to notify clients through our web site [www.iroquoiscapitalgroup.com](http://www.iroquoiscapitalgroup.com) or [www.reitinvestmentgroup.com](http://www.reitinvestmentgroup.com) on how to contact ICA. If the significant business disruption is such that it prevents ICA from remaining in business, ICA will assure our customers' prompt access to their securities through cell phone or email.

**For more information** - If you have questions about our business continuity planning, please contact ICA at 615-467-7609.