



### ***Business Continuity Plan (BCP)***

IWN's **emergency contact** persons are Jeff Zupancic, CEO (602) 494-0020 or [jeff@indwealth.net](mailto:jeff@indwealth.net) and Art Dinkin, President (515) 461-5123 or [adinkin@indwealth.net](mailto:adinkin@indwealth.net). This plan is subject to modification and updated versions will be posted to the firm website, [www.indwealth.net](http://www.indwealth.net) and customers may also request a written copy of the plan by mail.

Our policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making an operational assessment, quickly recovering and resuming operations, protecting all the firm's books and records, and allowing our customers to transact business. If we determine we are unable to continue our business, we will assure customers prompt access to their funds and securities through the Custodians. Our policy is distributed to all employees, posted on the firm's website, delivered to customers at account opening, and mailed to customers upon request.

Our plan anticipates two kinds of SBD's, internal and external. Internal SBD's affect our Urbandale, IA office's ability to communicate and do business, such as a fire in the building. External SBD's prevent the operation of the securities markets or several firms, such as a terrorist attack, a weather event, or other wide-scale disruption. Our response to an external SBD relies more heavily on other organizations and systems, especially on the capabilities of external service providers and our Custodians. IWN's intent is to stay in business during either an internal or an external SBD which may be expected to last longer than eight (8) hours by relocating key employees to an alternative work site to continue business functions as quickly as possible. If it is determined that the firm cannot recover and stay in business, customers may contact the primary Custodian, TD Ameritrade (800-669-3900) for access to their funds and securities. For customer assets held outside TD Ameritrade such as accounts with third party managers, mutual funds or insurance and annuity contacts, please refer to your individual statements for their direct contact information.

IWN and our custodian partners have back up facilities off-site which are tested and secure. In the event these locations are activated, the firm will communicate to our clients via a message on the effected office's phone system, email, post a notice on the firm website, and/or by whatever means available providing details of the situation and reminding customers of their access capabilities. IWN has made contingent back up plans for power phone, internet, and banking services to avoid any unnecessary delays in evoking this plan.

**PLEASE DIRECT ANY QUESTIONS ABOUT THIS NOTICE TO YOUR ADVISER.**