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DISASTER RECOVERY PLAN

Stonefield Investment Advisory, Inc. (Stonefield)
425 2nd ST SE STE 1200 CEDAR RAPIDS, IA 52401

Last Updated: 03/03/2021

Mission Statement

Provide for employee safety and business continuity and fulfill Stonefield's responsibility to our clients in the event of an emergency resulting in the disruption of normal business activity.

Stonefield has developed the following procedures to launch a timely recovery from a disaster. The basis of these procedures is to minimize the impact of a disaster to the firm, its employees, vendors and clients.

Statement of Purpose

Stonefield's first priority in any emergency is the absolute personal safety of our employees and their families. We encourage all employees to have, at a minimum, a family communication plan and designated meeting place in the event of a major emergency. Stonefield recognizes the great responsibility we hold with our clients. We must ensure efficient, accurate communication while providing for the liquidity of client assets in the event of an emergency. The purpose of this plan is two-fold:

- Provide for the physical safety of our employees
- Provide for business continuity during any potential business disruption.

Declaring an Emergency

JON WERNER will be considered the Disaster Team Leader and will be responsible for declaring an emergency situation. In the event JON WERNER is not able to make such a declaration, the responsibility will be passed on to JAMES ARENSON.

JON WERNER will be responsible for maintaining a list of all current employees and their contact information. A copy of this list is attached as Addendum I. It is the responsibility of JON WERNER to maintain this list and keep it current. All employees are required to review the list and make any appropriate changes at least semi-annually. Employees that are concerned about privacy issues are requested to discuss this concern with JON WERNER and special arrangements will be made to mitigate such concerns.

A copy of this list will be distributed to each employee and should be kept by each employee on-site as well as at home. In the event of a disaster JON WERNER will notify the firms senior officers to review the extent of the emergency and make a decision on which plan of action should be followed. Once a determination has been made, JON WERNER will call each employee, or designate someone to make such calls, advise the employee of the emergency declaration and provide instructions to the employees.

Emergency Contact Information

- Emergency: 911
- Non-emergency Cedar Rapids Police: (319) 286-5491
- Non-emergency State Police: (319) 396 -1944
- (Name of) Hospital: Mercy Medical Center
- (Name of Second) Hospital: Unity Point Health – St. Luke’s Hospital
- (Landlord Name): Bryan Schulz
- Poison Control: 1(800) 222-1222
- American Red Cross: (800) 733-2767

Emergency Supplies

First Aid Kit is located:

- DESK BY THE FRONT DOOR IN THE OFFICE

Fire Extinguisher is located:

- KITCHEN WALL

Flash Lights are located:

- SUPPLY ROOM (EXTRA OFFICE)

Evacuation Plan

- Warning System: Any staff member may order an evacuation based on their assessment of potential threats.
- Secure the door of your office as you leave.
- Use enclosed stairwell for evacuation.
 - Stairwells are located in SE hall on 12th floor
 - You must use the stairs. Elevators are deactivated in an emergency.
- Listen for and obey instructions from safety personnel coming up the stairs.

- Once out of the building, keep moving away from the building to the perimeter of the building site. Proceed directly to the primary assembly area.
 - JON WERNER is responsible for verifying everyone is present. Please check in with him once you are at the assembly area.
 - Once you have left your area, do not return for coats, purses, or personal belongings.
 - Do not return to the office until the “all clear” is given by the appropriate personnel.

External Assembly Area

In the event the building is evacuated proceed directly to our primary designated assembly area. If the primary location is unavailable, proceed to the backup site.

- Primary External Assembly Area:
- Backup External Assembly Area:

Shelter

In the event you must seek internal shelter there are several places to do so. For immediate shelter move to the inner most section of the building, the hallway.

Potential Emergencies

If an emergency has occurred that will affect business, please see stonefieldinvestments.com and click on the Disaster Recovery tab for further instructions. Additionally the Emergency Coordinator, JON WERNER, will call you should the need arise. Examples of emergencies include:

- Tornado
- Hazardous materials spill
- Fire
- Snow-storm
- Long term utility outage
- Airplane / airport related
- Terrorism
- Sick or Injured Person
- Death of key person

Fire

- Call 911
- Give building name and address.
 - PLAZA 425
 - Give floor number of fire. Floor #12
 - Give details of fire emergency.
- Remove persons in immediate danger.
- To confine fire, close doors while evacuating.
- Use stairwell exit only.
- Do not attempt to fight the fire.

- If caught in heavy smoke, take short breaths, breathe through your nose and crawl to the exit. If possible wrap a wet towel around your face to help filter the smoke.

Sick or Injured Person

- Call 911
- Give dispatcher the following information:
 - Building name and address.
 - PLAZA 425
 - Floor Number, Suite Number
 - We are on floor #12, Suite #1200.
 - Any available details on the accident or illness.
 - Is the person breathing?
 - Are they on any medication?
- Have someone meet the emergency unit at elevators on your floor or in the lobby.

Tornado

- By definition, a tornado warning is an alert by the National Weather Service confirming a tornado sighting and location. The Weather Service will announce the approximate time of the detection and direction of movement. A public warning will transmit over the radio, TV or by a steady five-minute siren blast
- Get away from the perimeter of the building and exterior glass.
- Leave your exterior office and close the door. If you are caught in an exterior office, seek protection under a desk.
- Go to center hallway corridor of building.
- Take the stairwell to the parking garage. Do not use the elevator.
 - Do not go to the first floor lobby or outside the building.
- Sit down in the corridor and protect yourself by putting your head as close to your lap as possible or kneel while protecting your head.

Destruction of the Firm's Principal Place of Business

In the event that the principal place of business is destroyed or damaged to a point where it cannot be utilized, JON WERER will contact each employee and provide instructions for reporting to work. JON WERNER has designated the following locations as places of business in case of such an emergency:

Primary Location

- 425 2nd St SE STE 1200 Cedar Rapids, IA 52401

Secondary Location:

- 552 Country Club Pkwy SE Cedar Rapids, IA 52403

Directions from Primary Location:

- [Going](#) NW on 5th Ave toward 3rd St:
 - Take 1st left onto 2rd St
 - Turn right onto 1st Ave
 - Turn right onto 27th St Dr
 - Turn light right onto Country Club Pkwy

- Google Map is located at the end of this Disaster Recovery Plan

Client Information and Client Trading Records

Original client agreements, contracts, profiles, and other documentation related to each client as well as trading records, brokerage statements and confirmations are maintained at the principal place of business for the appropriate time that is required by law. All data is electronically scanned and stored in electronic form. All related documents are stored electronically offsite by REDTAIL.

Please contact REDTAIL if assistance is required at 1 800-206-5030

Emergency Communication

Employee Communication

- Monitor stonfieldinvestments.com relevant information regarding an emergency.
 - Log on to stonfieldinvestments.com, click on the Disaster Recovery tab, at the bottom of the page, for relevant information.
 - JAMES ARENSON is responsible for updating the web site in the event of an emergency.
 - If JAMES ARENSON is unavailable contact METROSTUDIOS at the below information to update the web site with appropriate information.

Communication with Clients

Upon the declaration of an emergency, where normal lines of communication are no longer available, all representatives will attempt to communicate with their clients via any means available. Each advisory representative will maintain a list of their current clients that includes all known contact numbers (home, work, cell phone and e-mail addresses). If the advisory representative is unable to contact their clients they shall report the situation to JON WERNER. Upon notification JON WERNER will attempt to contact the client. JON WERNER will keep a log of each attempt and each client contacted.

Key Person Death

In the event of a key persons untimely death at STONEFIELD INVESTMENT ADVISORY the following procedure will be abided by:

- JON WERNER will notify all current clients immediately via regular mail and phone
 - JON WERNER will document all attempted phone calls and a list of clients to whom a letter was sent.
- JON WERNER will be responsible for maintaining trading and asset allocation models appropriate to current market conditions.
- Each IAR will be responsible for discussing appropriate future action with their individual clients.

- For the successor ownership of STONEFIELD INVESTMENT ADVISORY please contact ARENSON LAW GROUP specifically, JAMES ARENSON at (319) 363-8199

Due Diligence Reviews of Critical Vendors

Annually, due diligence reviews are performed of critical vendors. Stonefield will rely on this annual review process to confirm each vendor's disaster recovery plans.

Information Systems Backup

STONEFIELD INVESTMENT ADVISORY's Mission Critical Information, such as advisory agreements and client contact information, is electronically stored on REDTAIL servers. Additionally, all client centered information is maintained at the custodian, generally Charles Schwab. Both REDTAIL and Charles Schwab back-up their information. Contact information for each firm may be found on pages 7 and 8 of this plan.

Should the need to restore data become necessary contact REDTAIL

Contacts:

REDTAIL

Sun-Sat 7am to 9pm: 1 800-206-5030

Backup Procedure

The system backup is performed daily. The internal server contains features that allow a backup to its own hard drive. In an emergency situation, the offsite server could be operational next day with a 48 hour estimated time if the purchase of all new equipment is required.

Insurance

- Business Insurance
 - Agency
 - Pekin Insurance Policy: 00BU55480-G
- Jon Werner Life Insurance
 - ReliaStar/ING. / Voya \$1 million

Notification of Proper Authorities

After an emergency has been declared JON WERNER will notify the proper regulatory authorities of the nature of the emergency, and the temporary location of the firm. He will then notify Compliance Resources, Inc. and ask about any regulations governing emergency business continuity. Additionally, JON WERNER will notify the local public utilities, the telephone company, the post office and any other vendor as deemed necessary.

Succession Plan

Contact attorney James Arenson at (319)363-8199 for Succession Plan.

VENDOR CONTACT INFORMATION

Product/Service:	Brokerage		
Vendor Name:	Charles Schwab		
Street Address:			
City/State/Zip:			
Email Address:			
Contact Person:		Phone No.:	1(877) 774-3892
Alternate Contact:		24 Hour No.:	
		FAX No.:	
		Other No.:	
Comments:			

Product/Service:	Compliance and Regulations		
Vendor Name:	Compliance Resources, Inc.		
Street Address:	100 Market Street, Unit 409		
City/State/Zip:	Des Moines, Iowa 50309		
Email Address:	marypitcher@msn.com		
Contact:	Mary Pitcher	Phone No.:	515-778-7775
		Toll Free:	
		FAX No.:	
		Other No.:	
Comments:			

Product/Service:	Brokerage		
Vendor Name:	TD Ameritrade		
Street Address:			
City/State/Zip:			
Email Address:			
Contact Person:		Phone No.:	1(800)669-3900
Alternate Contact:		24 Hour No.:	
		FAX No.:	
		Other No.:	
Comments:			

Product/Service:	Brokerage		
Vendor Name:	TIAA		
Street Address:			
City/State/Zip:			
Email Address:			
Contact Person:		Phone No.:	1(800)842-2252
Alternate Contact:		24 Hour No.:	
		FAX No.:	
		Other No.:	
Comments:			

Product/Service:	Web Design / Maintenance		
Vendor Name:	Metro Studios		

Street Address: 1350 Sherman Rd	
City/State/Zip: Hiawatha	
Email Address: web@metrostudios.com	
Contact Person: Becky	Phone : (319)363-2002
Alternate Contact:	Work:
	Cell:
	Other No.:
Comments:	

Product/Service: Email	
Vendor Name: Smarshmail	
Street Address:	
City/State/Zip:	
Email Address:	
Contact Person:	Phone No.: 1(866)762-7741
Alternate Contact:	24 Hour No.:
	FAX No.:
	Other No.:
Comments:	
Product/Service: Account reconciliation, statement production, and aggregate historical account information.	
Vendor Name:	
Street Address:	
City/State/Zip:	
Email Address:	
Contact:	Phone No.:
	Toll Free:
	FAX No.:
	Other No.:
Comments:	

ADDENDUM I

STAFF CONTACT INFORMATION

JON WERNER is responsible for maintaining a current contact list

- Rebecca Hanson; Mount Vernon, IA; (319)377-7811 x 22; becky@stonefield.us
 - *Emergency Contact*
Karol Hanson; Cedar Rapids, IA; (319)202-5087
- Brian Murphy; Cedar Rapids, IA; bmurphy@stonefield.us
- Jon Werner; Cedar Rapids, IA; (319)377-7811x23; jwerner@stonefield.us
 - *Emergency Contact*
Leigh Werner, Cedar Rapids, IA, (319)230-4654, leigh.bailey@yahoo.com