

# PORTFOLIO Design Services

122 N 2<sup>nd</sup> Street, River Falls, WI 54022 [brad@pdsadvisors.com](mailto:brad@pdsadvisors.com) 715-629-9095 fax 540-400-0054

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## Client disclosure statement of Business Continuity Plan

Updated April 1, 2023

Portfolio Design Services LLC (PDS) has in place a business continuity plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters is unpredictable, we will have to be flexible in responding to actual events as they occur.

Business Continuity Plan: Portfolio Design Services LLC (PDS) plans to quickly recover and resume business operations by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allows our customers to transact business.

The plan addresses data backup and recovery

- Portfolio Design Services, LLC. Is required to backup Client and business records in a geographically separate area
- All mission critical systems,
- Financial and operational assessments,
- Alternative communications with customers,
- Employees and regulators, alternative physical location of employees,
- Critical supplier,
- Bank and counter-party impact,
- Regulatory reporting,
- Assuring our customers of prompt access to their funds and securities if we are unable to business.

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## The Custodians of your assets

- Schwab Institutional (877) 774-3892    PO Box 628290 Orlando, FL 32862-8290
- TD Ameritrade (866) 446-2630    7801 Mesquite Bend Drive Suite 112 Irving TX 75063-6043
- AXOS (formerly E\*Trade) (303) 705-6000    PO Box 5158 Englewood, CO 80155-6675

The objective of each Custodian is to restore their own operations, complete existing transactions, and accept new transactions and payments within a reasonable time.

Orders and requests for funds and securities could be delayed during this period.

In addition, if there should be a death or disability of the key persons for Portfolio Design Services the following individuals will assist in continuation of the business:

Bruce Swanson (540-400-0053)

Angela Tille (715-821-9251)

Bradley Olson (715-441-0259)

Tonya Swinnea (340-277-6976)

Michael Cummins (407-758-7502)

In the event of death or incapacity of one of the key persons, notification will be made within 24 hours via the IARD/CRD system and to the Virginia Division of Securities and Retail Franchising.

Notification to Clients will be given within five days from the death or incapacity of key persons.