



**KOENIG**  
Investment Advisory LLC

# **BUSINESS CONTINUITY PLAN**

**Koenig Investment Advisory, LLC** has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Disruptions triggering the need for the business continuity plan can be smaller, localized events like a minor power outage up to major catastrophes such as regional wildfires, earthquakes, etc. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Significant business disruptions can vary in their scope and could affect only our firm, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm, we have the technology to transfer our operations to a local site(s) when needed and expect to recover and resume business almost immediately. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, with our goal being to recover and resume business within 24 hours. In either situation, we plan to continue business; transfer operations to our clearing firm if necessary; and notify you through our website, email contact, and/or phone calls as to how to reach us during the affected timeframe.

## **CONTACTING US**

If after a significant business disruption you cannot contact us as you usually do at 800-959-7806, you should call our alternative number 541-608-0551 or go to our website at [koeniginvestment.com](http://koeniginvestment.com). If you cannot access us through either of those means, you should contact TD Ameritrade at 800-431-3500 for instructions on how they may provide prompt access to funds and securities, enter orders, and handle other trade-related cash and security transactions.

Our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption. Our business continuity plan addresses: 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 funds and securities if we are unable to continue our business.

We back up our important records in a geographically separate area, with our objective being to restore operations as soon as possible. Our plan allows us to access both client contact data and account access via secure, cloud-based channels. Your orders and requests for funds and securities could be delayed during this period.