



**Family  
Investors  
Company**

265 South Avenue  
Fanwood, NJ 07023  
908-322-1800

Serving your investment needs since 1960

## **Family Investors Company Business Continuity Plan Summary**

At Family Investors Company (“Family Investors” or the “Firm”), we recognize that you rely not only on us, but also on our systems and services for the management of the assets that you have entrusted to us. We also recognize that the unexpected can and does occur from simple situations to major outages. Family Investors has successfully maintained critical business activities during disruptions of normal business processes, and we want you to know that we have extensive plans in place to safeguard your vital account information.

Family Investors has a Business Continuity Plan (“BCP”) which serves as a pre-established contingency and disaster recovery plan. We consider the monitoring of the BCP to be ongoing process that requires regular review and assessment of various risks and appropriate responses. As a result, the BCP is continually reviewed and tested periodically to ensure effectiveness.

Significant business disruptions can vary in scope and type. For example, the disruption could affect only our Firm, a single business that houses our Firm, the business district within we operate, the city in which we are located, or the entire region. Within each of these areas, the severity of disruption can vary from minimal to severe. Additionally, the disruption can be physical, internal or cyber-related.

Family Investors relies on its hard copy records, backup online server, employees, mutual fund companies, insurance companies and clearing firm to protect itself from the different types of business disruptions. Our online network gives us the ability to transfer our operations to sites outside of the affected area, recover and resume business as quickly as possible by allowing us connectivity to our critical systems. Our technical support firm, CMIT Solutions can access and download all electronic records should the need arise. During a disruption, our employees will notify our clients by any means available, including telephone, e-mail, mobile phone or postings to our website. Our employees have been advised on procedures and will be able to assist clients during a time of disruption. If our infrastructure fails during a business disruption, we will attempt to transfer orders by the fastest alternative means available to our clearing firm, National Financial Services LLC (“NFS”) and mutual fund companies. Although Family Investors works together with NFS and mutual fund companies to plan for disruptions, during extreme circumstances, clients may experience delays. If a disruption is so severe that it prevents us from remaining in business, we will assure prompt access to our clients’ funds and securities. Our clearing firm, mutual funds, and variable annuity companies whom we conduct business with have a BCP in effect.

Key features of the Family Investors BCP include annual reviews of the following:

- Identification of all mission critical systems (and system backup and recovery);
- A review of financial operations and risks;
- Alternative communications between Family Investors and our clients, clearing firm, mutual fund companies, insurance companies, critical business constituents and regulators;
- Employee safety strategies and communications; and
- Alternate computer network location and preparedness.

The most updated version of our BCP is stored on our secured server and is accessible by contacting Darraugh Valli at (908) 322-1800.