
Portfolio Design Services, LLC

P.O. box 20109 Roanoke VA 24018

bruce@portfoliodesignservices.biz 540-400-0053

fax 540-400-0054

Client disclosure statement of Business Continuity Plan

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 firms 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 continue our business.

The Custodians of your assets

- **Schwab Institutional (888) 468-4965** PO Box 628290 Orlando, FL 32862-8290
- **TD Ameritrade (866) 446-2630** 5010 Wateridge Vista Drive San Diego, CA 92121-5775
- **Trust company of America (303) 705-6000** PO Box 6675 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)	Ty Boggs (303-325-6514)
Bradley Olson (715-629-9095)	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 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.

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With the depth of back up members we will continue to monitor the activity of your accounts including the normal trading, liquidations, or transfers.

Portfolio Design Services LLC operates as LLC with members who can independently act for the receipt of funds and disbursements to meet the credit demands.

For more information please e-mail **bruce@portfoliodesignservices.biz** or call 540-400-0053

If after a significant business disruption you cannot contact us at 540-400-0053 or 303-870-5634 or bruce@portfoliodesignservices.biz or website www.portfoliodesignservices.biz, you should call Julie Swanson at alternative #s (540) 922-3274 or (540) 774-7100 ext. 330.

If you cannot access us through any of these numbers you should contact your respective custodians or other third party that may sponsor your investment. Their toll free #s are provided above and on statements you receive. We have also tried to provide you with personal internet access for each account.