



Registered Investment Advisor

Business Continuity Planning Requirements

- Continuity of Operations
- Vulnerability Analysis
- Exposure Mitigation
- Risk Management
- Security
- Operations
- Education & Training
- Technology
- Crisis Communications & Management
- Insurance & Reinsurance
- Legal
- Human Resources
- Finance/Audit
- Government Relations
- Business Process Outsourcing
- Environmental Issues
- Corporate Communications
- Facilities Management
- Public Relations
- Branding

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The Securities and Exchange Commission requires Business Continuity Planning, BCP, for all Registered Investment Advisors (RIA). Firestorm Solutions, LLC has developed a Registered Investment Advisor Preaction Plan™ to address the requirements of the SEC.

Firestorm was created in the aftermath of 9/11 and Hurricane Katrina to help organizations manage critical issues. Firestorm's proprietary process and unique methodology enables clients to design and implement rational solutions to significant issues. We have a strong focus on vulnerability identification and risk mitigation.

Firestorm's Crisis Solution Architects division focuses on helping organizations identify problems and opportunities through a business continuity and crisis planning process. The expertise and resources of our Preaction Architects, turn an organization's business continuity planning into a key strategic asset. This division can help RIA's create a plan which will protect its revenues, employees and clients in the event of many possible disasters.

For those RIA's that choose to plan beyond the SEC requirements, the next level of BCP is true vulnerability analysis and crisis management. RIA's face all of the normal exposures that other businesses do, but are also faced with issues such as protecting client lists, non-piracy, non-compete, etc. Firestorm offers RIA's a menu of options for their BCP needs.

Firestorm's Critical Decision Support division is comprised of business analysts, lawyers, and other specialists. Our experts are familiar with the laws, rules and regulations surrounding many public and private industries including financial services, insurance, banking, energy, chemical, manufacturing and others. Our proprietary process for analyzing issues can help develop solutions to issues outside of the BCP process as well

A business continuity plan written within a disaster-preparedness context becomes a value-added series of checks-and-balances, protecting the RIA.

