

# NORTHWEST ASSET MANAGEMENT

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## **Business Continuity Plan (Executive Summary)**

August 2022

NWAM, LLC dba Northwest Asset Management dba RIA Innovations (“The Firm”) has determined which business systems and processes are critical in the daily conduct of business. Less critical but important systems and processes have also been identified.

These systems are hosted on industry recognized leading hosting platforms such as Microsoft’s Azure Cloud and Amazon’s Web Services. As such, the fully-redundant, highly-available features of those platforms will not be detailed here.

For the majority of these platforms, The Firm maintains its own replica of the data taken weekly, nightly, or in some cases in real time. This provides alternate access points to the data in the unlikely event that the hosted cloud providers mentioned above become unavailable for an extended period of time. Written procedures detailing how to use alternate access methods are available upon request.

The Firm’s workforce is 100% remote. Employees are dispersed throughout the continental United States in every time zone. The provides additional access points to resources in the event of regional outages. Each employee is outfitted with hardware and software that creates a secure work environment to ensure privacy of data at rest and in transit.