

# Gardner Financial Services, Inc.

## GFS BUSINESS CONTINUITY PLAN NOTICE

Gardner Financial Services, Inc. (GFS), has developed a Business Continuity Plan that may be activated in the event of a significant business disruption. The firm realizes the critical nature of being able to continue material operations if an incident occurs that could affect mission-critical business units and systems. These plans are key components in maintaining emergency procedures, and are required by securities industry regulations.

**Contacting Us** – If, after a significant business disruption, you cannot contact us as you normally do at 952-935-4601, call our alternative number 763-473-2619 or go to our website at [www.gardnerfinancialmn.com](http://www.gardnerfinancialmn.com) for instructions. If you cannot access us through either of those means, contact our clearing firm, RBC Correspondent Services, a division of RBC Capital Markets, LLC, Member NYSE, FINRA, SIPC (RBC) at 1-866-506-8595, or your mutual fund, partnership, 529 plan, or variable annuity product sponsor.

**Varying Disruptions** – Significant business disruptions can vary in their scope, such as those affecting only our firm, a single building housing our firm, the business district where our firm is located, 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. Our firm's plans are intended to permit the continuation of key business operations during most types of disruptions by resuming mission-critical operations, usually within the same business day as the disruption. To assist this business continuity, the firm maintains back-up processing capabilities in an alternate location. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

Clients should be aware that because the firm's plans contain details of a confidential and proprietary nature, they cannot be distributed to the public. Clients should also note that our business continuity plan is subject to modification, and that updated plans will be promptly posted on our website, as permitted by applicable law.

**For more information** – If you have questions about our business continuity planning, you can contact us at 952-935-4601.