



**The Wehrheim Group, LLC**  
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## **THE WEHRHEIM GROUP, LLC.**

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

### **December 2015**

#### **Emergency Contact Persons**

Our firm's two emergency contact persons are: Eugene V. Wehrheim, CEO, 319-899-6516 or [ewehrheim@nationsfg.com](mailto:ewehrheim@nationsfg.com) and Vince Wehrheim, Business Manager, 319-624-2546 or [vwehrheim@nationsfg.com](mailto:vwehrheim@nationsfg.com). These names will be updated in the event of a material change, and our Branch Manager will review them on an annual basis. The plan is subject to modification and updated versions will be posted to the firm website, [www.wehrheimgroup.com](http://www.wehrheimgroup.com) or customers may alternately request a written copy of the plan by mail.

#### **Firm Policy**

Our firm's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and branch property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the branch's books and records, and allowing our customers to transact business. In the event that we determine we are unable to continue our business, we will assure customers prompt access to their funds and securities by the use of internet sites, our broker/dealer, and our RIA.

Our plan anticipates two kinds of SBDs, internal and external. Internal SBDs affect only our Branch's ability to communicate and do business, such as a fire in our building. External SBDs prevent the operation of the securities markets or a number of branches or firms, such as a terrorist attack, a city flood, or a wide-scale, regional disruption. Our response to an external SBD relies more heavily on other organizations and systems, especially on the capabilities of our broker dealer and clearing firm.

Our Branch will primarily rely on the Home Office of Nations Financial Group, Inc. in Cedar Rapids, IA, and First Clearing Correspondent Services in St. Louis, MO, to allow customers access to their accounts, and continue running our business in the event an SBD effects this branch location.

#### Our Broker/Dealer is:

National Financial Group, Inc.  
4000 River Ridge Dr NE  
Cedar Rapids, IA 52402  
(800) 351- 2471  
(319) 393-9541

#### NFGI's Clearing Firm is:

First Clearing Correspondent Services  
One North Jefferson Ave  
St. Louis, MO 63103-2205  
1-888-322-2532

If customers have accounts held away from the broker dealer and clearing firm (for example, mutual funds, variable annuities, outside managed accounts), the customers will be directed to contact those sponsors directly.

The firm, Nations Financial Group, Inc, and First Clearing Correspondent Services, have back up facilities off site which are tested and secure. In the event the locations are activated, the firm will communicate to our clients via the firm's phone answering machine message, email, fax, and/or post a notice on the firm website, [www.wehrheimgroup.com](http://www.wehrheimgroup.com), whatever means available, of the change and remind customers of their access capabilities. The firm has also made contingent back up plans for power, phone, internet and banking services to avoid any unnecessary delays in evoking the plan.

*Investment and advisory products offered through Nations Financial Group, Inc., Member FINRA/SIPC, a Registered Investment Advisor. The Wehrheim Group, LLC, is a separate entity and not affiliated with Nations Financial Group, Inc. Security products are not insured by the FDIC or NCUA; are not deposits or other obligations of Linn Area Credit Union and are not guaranteed by Linn Area Credit Union. All investment products are subject to investment risk including possible loss of principal invested.*