

# **Weaver C. Barksdale & Associates, Inc.**

## **Disaster Recovery Plan**

### **Policy**

As part of its fiduciary duty to its clients and as a matter of best business practices, Weaver C. Barksdale & Associates, has adopted policies and procedures for disaster recovery and for continuing Weaver C. Barksdale & Associates' business in the event of a disaster. These policies are designed to allow Weaver C. Barksdale & Associates to resume providing service to its clients in as short a period of time as possible. These policies are, to the extent practicable, designed to address those specific types of disasters that Weaver C. Barksdale & Associates might reasonably face given its business and location.

There are a number of events such as severe weather, acts of war, terrorist activities, personal accidents and the like that could hamper our efforts to provide appropriate service to our clients. The nature of the specific cause is less important than the specific impact in terms of the loss of key personnel, communications, data, and use of our office space. The purpose of this policy is to establish procedures to limit the impact of such developments on our ability to serve our clients.

### **Background**

Since the terrorist activities of 9/11/2001, all advisory firms need to establish written disaster recovery and business continuity plans for the firm's business. This will allow advisers to meet their responsibilities to clients as a fiduciary in managing client assets, among other things. It also allows a firm to meet its regulatory requirements in the event of any kind of disaster, such as a bombing, fire, flood, earthquake, power failure or any other event that may disable the firm or prevent access to our office(s).

### **Responsibility**

The Operation's Manager along with the Chief Compliance Officer is responsible for maintaining and implementing Weaver C. Barksdale & Associates' Disaster Recovery and Business Continuity Plan.

### **Procedure**

Weaver C. Barksdale & Associates has adopted various procedures to implement the firm's policy and reviews to monitor and insure the firm's policy is observed, implemented properly and amended or updated, as appropriate, which may be summarized as follows:

In the event of an accident or illness that would prevent one or more key employees from performing their duties, it is critical that each key employee have a backup who would be able to perform those duties. Following is a list of primary and secondary backup assignments. It is the responsibility of the key employees as well as each employee in a backup role to prepare for the backup to assume the duties of the key person.

## **Key Personnel**

<u>Position</u>	<u>Backup</u>	<u>Secondary</u>
CEO – McDowell	Barksdale	Slocum
CIO – Webb	Puryear	Cox
Compliance Officer – Slocum	Carpenter, T	McDowell
Operations Manager – Carpenter, T.	Carpenter, K.	Chamnanphong

## **Communications**

All staff members have been provided with the home address and mobile phone number as well as home internet addresses for all other staff members. All key personnel have access to a cellular phone.

In the event of loss of communication (i.e., loss of internet service and/or telephone service), it will be the responsibility of the Disaster Recovery Coordinators (DRC) to contact our service provider regarding restoration of service. The current service provider is ITC Deltacom and they have the capability to employ Remote Call Forwarding to any location specified. In the event that the service provider cannot perform this service, key personnel will attempt to use their home computers.

In the event of a disaster, all personnel will meet at the residence of the Tim and Kathy Carpenter. Maps are located in each employees' briefcase, automobile glove compartment and at each employees' home. In addition, each employee has access to a computer at home that could be employed if service is available to them. Additional laptop computers will be employed as necessary. The Operations Manager will be responsible for acquiring basic dial up internet services through MSN, Yahoo or AOL. The Operations Manager will also coordinate internet services with our on-line accounting system, SunGard. The Bond Edge and Bloomberg systems also are accessed via the internet. In the event that home computers cannot be used, the DRC will direct key personnel to the nearest hotel that has available communications (see Exhibit V - B).

When communications have been restored, the operations manager will be responsible for ensuring that all clients, custodians, brokerage firms and critical service providers have been properly advised how to contact us.

## **Data Retention**

Critical data files on office computers are backed up daily and stored off-site. Less critical data will be backed up weekly or quarterly at the determination of the Operations Manager and stored off-site. Books and records required for regulatory purposes are being transferred to electronic media with redundant copies stored off-site at two different locations. (Barksdale's home safe, Carpenter's home safe).

## **Office Space**

In the event that our office space becomes uninhabitable, all personnel will meet at the residence of the Tim and Kathy Carpenter. Map is attached in Exhibit V- C.

Duke Reality, with whom we have our lease, has agreed to provide us with temporary space at a location somewhere within the cities of Nashville, Brentwood or Franklin. This space is based on availability within their system. If said space is not immediately available, key personnel will employ temporary quarters in their homes or an appropriate hotel listed in the accompanying Exhibit V- B. The DRC will be responsible for seeing to it that communications services are provided to the new location(s) as described under "Communications". The DRC will also coordinate the retrieval of all backup tapes and contact the Post Office regarding mail collection.

## **Other Information**

Disaster Recovery Coordinators: Tim Carpenter and Debbie Slocum  
Operations Manager: ...Tim Carpenter  
Duke Reality: .....Lori Merkel: 615-884-2342 or 615-394-7873  
ITC Deltacom: .....Kelly Blake: 615-724-5724 or 800-239-3000  
IKON: .....Kirk Coble: 615-770-3223 or 888-456-6457  
Security Archives: .....Jason Milek: 615-331-3897  
SunGard: .....Monica Dailx-Bantz: 973-808-6974  
Bloomberg: .....Ken Napolitano: 212-893-3464  
BondEdge (CMS): .....Joseph Kirkland: 212-771-6771