



**Grosbeck Investment Management Corporation**

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**Our Business Continuity Plan (BCP)** – We plan to quickly recover and resume operations after a significant business disruption and respond by safeguarding our employees and property, protecting the firm's books and records, and allowing our customers to continue their normal business activities. Our BCP is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the business disruption. Our first priority will always be our customers/business partners.

**Our BCP addresses the following:**

***Data back up and recovery:*** Grosbeck Investment Management Corp. data management resources are comprised of a Dell Power Edge 850 Rack Server co-located at Net Access Corp (NAC) in Parsippany, NJ. All communication between Grosbeck and NAC is through a secure encrypted site to site VPN tunnel. The Grosbeck Server is backed up nightly via both tape backups and data copies. The server has two 160GB disks that are configured on a RAID 1 mirrored array. Our server runs the Microsoft Small Business Server (SBS) 2003 and Microsoft Networking & Exchange programs. It supports our nine Windows XP workstations. The server and all PC's are protected by Firewall/System Monitoring; Symantec Anti-Virus Corporate Edition; Trend Micro ScanMail Suite; Vamsoft ORF Spam Filter; Netgear VPN / Firewall. Grosbeck maintains an offsite network-ready computer.



IT support is provided by ENTEGRATION, a full service information technology consulting company, located in Glen Rock, NJ.

ENTEGRATION provides an off-site infrastructure that will be used by Groesbeck Investment Management Corp. in the event of a disaster that prevents the primary Groesbeck Investment Management Corp. infrastructure at 12 Route 17 North, Suite 130, Paramus, New Jersey 07652 from being utilized for an extended period of time (fire, flood, natural disaster, etc.).

ENTEGRATION ensures that an up-to-date backup copy of the Groesbeck Microsoft active directory is copied to a server in the ENTEGRATION data center located at Net Access Corporation (NAC). ENTEGRATION also backs up their server at NAC to an off-site location.

Groesbeck has also arranged for a tape backup system on our small business server located at Net Access Corp. These tapes are removed and rotated on a daily basis at 9:00 AM.; we are recycling the tapes after every 10<sup>th</sup> tape.

ENTEGRATION ensures that enough capacity and storage is allocated to Groesbeck to run the following services on the Disaster Recovery Infrastructure:

- Microsoft Exchange / Outlook
- Data Access to Microsoft Office Files (Word, Excel, PowerPoint)
- Quicken

ENTEGRATION will have the Disaster Recovery (DR) infrastructure in place and accessible within 6 hours of notification from Groesbeck that a disaster has occurred and that the DR infrastructure is required. The DR infrastructure will only be used in a prolonged system outage and not for a temporary system outage. While ENTEGRATION is setting this up, Groesbeck will procure temporary office space and implement backup PC's.



***All Mission critical systems:*** Email (firewall protected by Net Gear), Checkfree APL (our portfolio accounting/trading system, which holds all client data and account history). Checkfree APL will not be run from ENTEGRATIONS Disaster Recovery infrastructure but will be run from Groesbeck PC(s) and/or employee PC(s) that will establish a separate VPN connection to Checkfree APL.

In the event of a temporary system outage, Groesbeck employees will be able to work out of their homes with access to Checkfree APL and Groesbeckim.com email.

***Communications with customers, employees, and regulators:*** We will have email, phone and fax forwarded to an alternate location to continue business as usual.

Internal Communication will be started by Ted Groesbeck, who will call all employees and inform them of the situation and the steps to be taken. (See Internal Operations Disaster Recovery Plan @ S:\Disaster Recovery)