



\*Our goal is your financial wellbeing



# Business Continuity Plan

**Financial Goal Attainment Ltd**

**April 2020 – March 2021**

## The BCP Team

| Role                        | Responsibility  | Name                   | Telephone Number         | Email                             |
|-----------------------------|---|------------------------|--------------------------|-----------------------------------|
| BCP Co-ordinator            | To co-ordinate BCP and act as consultant and company Director | Jeremy Marsh           | 07801 454595             | jeremy@financialgoalattainment.uk |
| BCP Support<br>Co-ordinator | To act as support to BCP Co-ordinator                         | Stuart Brown           | 07958 965110             | stuart@financialgoalattainment.uk |
| IT Support                  | To maintain or facilitate continuing IT functionality         | Paul Hooper – Route 22 | 01883 70692/07903 938616 | Paul.hooper@route22.co.uk         |

This plan is designed to ensure that in the event of an unforeseen event arising the firm is able to carry out its duties to clients and continue to meet its regulatory obligations. Whilst no firm can plan for every eventuality, we consider the following to be the key disasters that could challenge the way we meet the above objectives:

- Loss of key personnel
- Loss of access to offices
- Loss of access to equipment, software and data

The measures to be applied in the event of any of the above situations arising would need to be carefully considered at the time and after communicating with relevant third parties and suppliers. Therefore, this plan ensures contact can be made with the relevant parties to agree the most suitable outcome, which can subsequently be communicated to relevant staff. Below we confirm the process for each of the disaster areas above.

Clients affected by any disaster within the firm will be contacted at the earliest time possible.

### Loss of Key Personnel

The roles of senior management and those holding a Senior Manager Function are confirmed in our Compliance Plan. In the event of any of these individuals becoming absent due to long term sickness or death a temporary appointment of another senior manager will be made to assume the role and responsibility under an emergency provision. The firm will then ensure within the following 12-week period a formal appointment is made to that role. For a Senior Manager Function holder, should this extend to a longer period the firm will seek formal temporary approval by submission of Form I.

### Loss of access to offices

In the event of our main office becoming inaccessible, temporary arrangements will be made at the time for staff to work from home (or use/source an alternative location). This will apply until the office becomes available or an alternative full-time location is found.

Where loss of access is only temporary i.e. loss of certain utilities, an immediate short-term solution will be determined at the time.

### Loss of access to equipment, software or client data

The information below identifies all the third-party solutions and providers to enable us to carry out business operations. In the event of any failure contact would be made to determine the extent of the problem and how a suitable solution to this can be achieved:

| PROCESS                   | SYSTEM / PACKAGE | SUPPLIER/SUPPORT FUNCTION | CONTACT DETAILS    | Notes/Comments |
|---------------------------|------------------|---------------------------|--------------------|----------------|
| Telephones / mobiles      | Vandercom        |                           | Tel – 0344 2598000 |                |
| E Mail                    | Fasthosts        |                           | Tel – 0333 0142700 |                |
| Internet Service Provider | Vandercom        |                           | Tel – 0344 2598000 |                |
| Back office system        | IO               |                           | Tel – 0845 2303700 |                |

|                              |   |  |   |  |
|------------------------------|---|--|---|--|
| Software tools – Investments | Defaqto/O&M/Morningstar/Dynamic Planner |  | Tel – 01844 295544/01206<br>222191/0203 1070050/0333<br>6000500 |  |
| Software tools – Mortgages   | Mortgage Brain                          |  | Tel – 0208 6653200  |  |
| Software tools – Insurance   | Ipipeline                               |  | Tel – 0345 4084022  |  |
| Software tools - Credit      | N/A                                     |  | Tel –   |  |
| Intranet                     | Fasthosts                               |  | Tel – 0333 0142700  |  |

Each of the above contacts, together with details of all relevant BCP staff, are stored with the individuals listed in the opening table.

All our firms’ staff and their roles are listed within our Training and Competence plan.

Information that is stored on our own electronic devices that is not supported and backed up by third party suppliers will be backed up to Amazon

If this results in loss of client data, we confirm our procedure within our Data Risk Assessment Policy.

#### **TESTING AND REVIEWING THE PROCESS**

Whenever subscribing to third party tools we ensure we are aware and comfortable that their continuity arrangements meets the demands of our firm when supplying their goods to us. Whilst it is not always practical to demonstrate this in a ‘live’ situation, we seek past examples of how this has been delivered in practice, to understand how this can be applied within our business.