



Innovation Advisors, LLC Business Continuity Planning

Innovation Advisors, LLC has developed a Business Continuity Plan (BCP) in accordance with FINRA Rule 4370 on how we will respond to events that significantly disrupt our business. The BCP is designed to enable flexibility to respond appropriately to the specific issues that may arise from a disaster or significant disruption.

Contacting Us: *If after a significant business disruption, you cannot contact the firm at 212 268 1501 or via our web site at <https://www.innovationadvisors.com/>, you may contact one of our emergency contacts:*

- *Eric Gebaide at 212 268 1501 ext 202 or egebaide@innovationadvisors.com*
- *Alex Mack at 212 268 1501 ext 8011 or amack@innovationadvisors.com*

If neither emergency contact is available, please dial 646 484 8542

The Innovation Advisors BCP: In the event of a significant business disruption, we plan to resume business operations as quickly as practicable and respond by safeguarding our employees and property, assessing our financial and operational capabilities, protecting the firm's books and records, and enabling our clients to contact us. The IA BCP includes provisions for data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with clients, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; and regulatory reporting.

Varying Disruptions: Significant business disruptions can vary in their scope and extent. For example, in a disruption to only our firm or a building housing our firm, we will transfer our operations to one or more local sites when needed and expect to recover and resume business within 1 business day. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and resume business within 3 business days. In either situation, we plan to continue in business, and you may contact us via the emergency numbers above.

If you have questions about our BCP, you can contact us at 212 268 1501.