

Eagle Investors LLC Disaster Recovery Plan (DRP)

Effective Date: January 1st, 2024

1. Introduction

This Disaster Recovery Plan (DRP) has been developed by Eagle Investors LLC (Eagle) to address potential disruptions, ensuring the continuity of critical business operations and protecting the interests of our clients. This plan is compliant with Regulation 21VAC5-80-160 F of the Virginia Securities and Retail Franchising Division.

2. Key Personnel and Roles

2.1. Successor

In the event of death or incapacity of key personnel, Bihu Sandhir will assume the role of Successor and wind down business activities.

2.2. Disaster Recovery Team (DRT)

A Disaster Recovery Team (DRT) is appointed and responsible for implementing the DRP. The DRT includes:

Bihu Sandhir (Successor)
Meredith Karbowsky

3. Notification Procedures

3.1. Internal Notification:

Upon death or incapacity of a key person, the DRT will be notified immediately by any available means.

3.2. External Notification:

Within 24 hours of the event, the DRT will notify the Division of Securities and Retail Franchising via IARD/CRD.

Clients will be notified within five business days, informing them of the situation and next steps.

4. Client Account Continuity

Eagle will implement the following measures to ensure continued client account monitoring in case of disruption:

Automatic monitoring and alerts: Systems will be configured to automatically monitor client accounts for critical events, triggering alerts for the DRT to take necessary action.

Backup data and systems: Regular backups of client data and system configurations will be stored securely off-site, allowing for prompt restoration in case of system failure.

Alternative access: In case of physical office inaccessibility, the DRT will utilize remote access tools to ensure continued oversight of client accounts.

5. Financial Continuity

Eagle maintains diversified funding sources and contingency plans to meet credit demands even during unexpected events.

The DRT will assess the financial situation and take necessary steps to secure any outstanding credit obligations.

6. Data Backups and Recovery

Eagle maintains comprehensive data backups, including client records, financial data, and system configurations.

Backups are stored securely off-site and replicated to ensure availability in case of primary site failure.

Regular testing of backup and recovery procedures ensures efficient restoration of operations in case of disaster.

7. Testing and Review

The DRP will be tested regularly through simulation exercises to identify and address vulnerabilities.

The DRP will be reviewed and updated annually, or more frequently as needed, to reflect changes in the organization, technology, or regulations.

8. Communication

Clear and timely communication is crucial during any disaster. The DRT will establish communication protocols to keep stakeholders informed of the situation and recovery progress.

9. Conclusion

By implementing this DRP, Eagle strives to minimize disruptions and ensure the ongoing protection of its clients' interests in the face of unforeseen events. We are committed to continuous improvement of our disaster preparedness and response capabilities.