

# **ATIS, INC.**

## **Business Continuity Plan (BCP)**

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### **I. Emergency Contact Persons**

Our firm's two emergency contact persons are: John J. Evanich, 219-985-5115, [lorievanich@sbcglobal.net](mailto:lorievanich@sbcglobal.net), and Kurt Schultz, 219-680-9689, [jdktrader@yahoo.com](mailto:jdktrader@yahoo.com). These names will be updated in the event of a material change, and our Executive Representative will review them within 17 business days of the end of each quarter.

Rule: *FINRA Rule 3520.*

### **II. Firm Policy**

Our firm's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering, and resuming operations, protecting all of the firm's books and records, and allowing our customers to transact business. In the event that we determine we are unable to continue our business, we will assure customers prompt access to their funds and securities.

#### **A. Significant Business Disruptions (SBDs)**

Our plan anticipates two kinds of SBDs, internal and external. Internal SBDs affect only our firm's ability to communicate and do business, such as a fire in our building. External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a city flood, or a wide-scale, regional disruption. Our response to an external SBD relies more heavily on other organizations and systems, especially on the capabilities of our clearing firm.

#### **B. Approval and Execution Authority**

John J. Evanich, a registered principal, is responsible for approving the plan and for conducting the required annual review. John J. Evanich has the authority to execute this BCP.

#### **C. Plan Location and Access**

Our firm will maintain copies of its BCP plan and the annual reviews, and the changes that have been made to it for inspection. An electronic copy of our plan is located on John's workstation in the shared file C:\ATIS Regulatory Documents\Business Continuity folder and in our safety deposit box at the American Community Bank located in Dyer.

### **III. Business Description**

Our firm conducts business in equity and fixed income securities, as well as mutual funds and annuities. Our firm is an introducing firm and does not perform any type of clearing function for itself or others. Furthermore, we do not hold customer funds or securities. We accept and enter orders. All transactions are sent to our clearing firm or mutual fund company which executes our orders, compares them, allocates them, clears and settles them. Our clearing firm also maintains our customers' accounts, can grant customers access to them, and delivers funds and securities. Our firm services retail customers and institutional customers. We do not engage in any private placements.

Our clearing firm is RBC Clearing and Custody, 250 Nicollet Mall, Suite 1700 Minneapolis MN 55402, (800)-933-9946, *Nicholas.degidio@rbc.com*, *www.rbcwealthmanagement.com* and our contact person at that clearing firm is Nick DeGidio, 1-866-635-3573

### **IV. Office Locations**

Our Firm has one office location. It is located at 9717 Prairie Avenue, Highland, IN 46322. Its main telephone number is 219-836-2102. Our employees may travel to that office by means of car or bus. We engage in order taking and entry at this location.

### **V. Alternative Physical Location(s) of Employees**

In the event of an SBD, the home office of President John J. Evanich, located at 1406 Brandywine Drive, Munster IN., will be considered the main location. The staff may work out of their respective homes. Registered representatives will bring their computers to run the necessary business applications. When it comes to contacting any of the employees, their cell phones can be found on page 6 of this document.

*Rule: FINRA Rule 3510(c)(6).*

### **VI. Customers' Access to Funds and Securities**

Our firm does not maintain custody of customers' funds or securities, which are maintained at our clearing firm, RBC Clearing and Custody. In the event of an internal or external SBD, if telephone service is available, our registered persons will take customer orders or instructions and contact our clearing firm on their behalf, and if our Web access is available, our firm will post on our Web site that customers may access their funds and securities by contacting RBC Clearing and Custody at 1-800-933-9946.

If SIPC determines that we are unable to meet our obligations to our customers or if our liabilities exceed our assets in violation of Securities Exchange Act Rule 15c3-1, SIPC

may seek to appoint a trustee to disburse our assets to customers. We will assist SIPC and the trustee by providing our books and records identifying customer accounts subject to SIPC regulation.

Rules: *FINRA Rule 3510(a)*; Securities Exchange Act Rule 15c3-1; 15 U.S.C. 78eee (2003).

## **VII. Data Back-Up and Recovery (Hard Copy and Electronic)**

Our firm maintains its primary hard copy books and records and its electronic records at 9717 Prairie Avenue, Highland, IN 46322. John J. Evanich, President, 219-836-2102 is responsible for the maintenance of these books and records. Our firm maintains the following document types and forms that are not transmitted to our clearing firm: The firm's financial records.

Our firm maintains back-up hard copy books and records at its office, 9717 Prairie Avenue, Highland, IN and American Community Bank, in Dyer, IN. These records are on memory sticks. John J. Evanich is responsible for the maintenance of these back-up books and records. We back up our records on a monthly basis.

Backups for the firm are taken several times a day and sent to redundant datacenters in the U.S. by our technology consultant, Jordan Tech. All information is encrypted when sent and while kept on the provider's servers.

In the event of an internal or external SBD that causes the loss of our paper records, we will physically recover them from our back-up site. If our primary site is inoperable, we will continue operations from our back-up site or an alternate location. For the loss of electronic records, we will either physically recover the storage media or electronically recover data from our back-up site, or, if our primary site is inoperable, continue operations from our back-up site or an alternate location.

Rule: *FINRA Rule 3510(c)(1)*.

## **VIII. Financial and Operational Assessments**

### **A. Operational Risk**

In the event of an SBD, we will immediately identify what means will permit us to communicate with our customers, employees, critical business constituents, critical banks, critical counterparties, and regulators. Although the effects of an SBD will determine the means of alternative communication, the communications options we will employ will include our website and telephone. In addition, we will retrieve our key activity records as described in the section above, Data Back-Up and Recovery (Hard Copy and Electronic).

Rules: FINRA Rules 3510(c)(3) & (f)(2).

## **B. Financial and Credit Risk**

In the event of an SBD, we will determine the value and liquidity of our investments and other assets to evaluate our ability to continue to fund our operations and remain in capital compliance. We will contact our clearing firm, critical banks, and investors to apprise them of our financial status. If we determine that we may be unable to meet our obligations to those counterparties or otherwise continue to fund our operations, we will request additional financing from our bank or other credit sources to fulfill our obligations to our customers and clients. If we cannot remedy a capital deficiency, we will file appropriate notices with our regulators and immediately take appropriate steps.

Rules: FINRA Rules 3510(c)(3), (c)(8) & (f)(2).

## **IX. Mission Critical Systems**

Our firm's "mission critical systems" are those that ensure prompt and accurate processing of securities transactions, including order taking, entry, execution, comparison, allocation, clearance and settlement of securities transactions, the maintenance of customer accounts, access to customer accounts, and the delivery of funds and securities. More specifically, these systems include Workstations with access to the Clearing Firm's platform.

We have primary responsibility for establishing and maintaining our business relationships with our customers and have sole responsibility for our mission critical functions of order taking and execution. Our clearing firm provides, through contract, the execution, comparison, allocation, clearance and settlement of securities transactions, the maintenance of customer accounts, access to customer accounts, and the delivery of funds and securities.

Our clearing firm contract provides that our clearing firm will maintain a business continuity plan and the capacity to execute that plan. Our clearing firm represents that it will advise us of any material changes to its plan that might affect our ability to maintain our business. In the event our clearing firm executes its plan, it represents that it will notify us of such execution and provide us equal access to services as its other customers. If we reasonably determine that our clearing firm has not or cannot put its plan in place quickly enough to meet our needs or is otherwise unable to provide access to such services, our clearing firm represents that it will assist us in seeking services from an alternative source.

Our clearing firm represents that it backs up our records at a remote site. Our clearing firm represents that it operates a back-up operating facility in a geographically separate area with the capability to conduct the same volume of business as its primary site. Our clearing firm has also confirmed the effectiveness of its back-up arrangements to recover from a wide scale disruption by testing.

Recovery-time objectives provide concrete goals to plan for and test against. They are not, however, hard and fast deadlines that must be met in every emergency situation, and various external factors surrounding a disruption, such as time of day, scope of disruption, and status of critical infrastructure—particularly telecommunications—can affect actual recovery times. Recovery refers to the restoration of clearing and settlement activities after a wide-scale disruption; resumption refers to the capacity to accept and process new transactions and payments after a wide-scale disruption. Our clearing firm has the following SBD recovery time and resumption objectives: a recovery time period of 4 hours and resumption time of same business day.

#### **A. Our Firm's Mission Critical Systems**

##### **1. Order Taking**

Currently, our firm receives orders from customers via telephone, and in person visits by the customer. During an SBD, either internal or external, we will continue to take orders through any of these methods that are available and reliable, and in addition, as communications permit, we will inform our customers when communications become available to tell them and the alternatives, they have to send their orders to us. Customers will be informed of alternatives by phone. If necessary, we will advise our customers to place orders directly with our clearing firm at 1-800-933-9946.

##### **2. Order Entry**

Currently, our firm enters orders by recording them on paper and electronically and sending them to our clearing firm electronically or telephonically. We have contacted and were told that, under its BCP, we can expect execution services within four hours.

In the event of an internal SBD, we will enter and send records to our clearing firm by the fastest alternative means available, which include fax and email. In the event of an external SBD, we will maintain the order in electronic or paper format and deliver the order to the clearing firm by the fastest means available when it resumes operations. In addition, during an internal SBD, we may need to refer our customers to deal directly with our clearing firm for order entry.

##### **3. Order Execution**

We currently execute orders by the RBC Clearing and Custody order entry systems. In the event of an internal SBD, we would call in to the RBC Clearing and Custody execution desk for placing trades. In the event of an external SBD, we would do the same.

##### **4. Other Services Currently Provided to Customers**

In addition to those services listed above in this section we also do transfer work. In the event of an internal SBD, we would contact the personal representatives of the transfers

pending to alert them of possible delays in having their transfer papers completed for processing. In the event of an external SBD, we would do the same.

## **B. Mission Critical Systems Provided by Our Clearing Firm**

Our firm relies, by contract, on our clearing firm to provide order execution, order comparison, order allocation, and the maintenance of customer accounts, delivery of funds and securities, and access to customer accounts.

Rules: *FINRA Rules 3510(c) & (f)(1).*

## **X. Alternate Communications Between the Firm and Customers, Employees, and Regulators**

### **A. Customers**

We now communicate with our customers using the telephone, e-mail, our Web site, fax, U.S. mail, and in person visits at our firm or at the other's location. In the event of an SBD, we will assess which means of communication are still available to us and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party. For example, if we have communicated with a party by e-mail but the Internet is unavailable, we will call them on the telephone and follow up where a record is needed with paper copy in the U.S. mail. If the phone system is still working, we will forward office calls to a specified employee, who will then route the calls appropriately.

Rule: *FINRA Rule 3510(c)(4).*

### **B. Employees**

We now communicate with our employees using the telephone and in person. In the event of an SBD, we will assess which means of communication are still available to us and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party. A phone list of employee contacts is as follows:

John Evanich	219-985-5115
Kurt Schultz	219-680-9689
Joe Mastej	219-669-4445
Michael Parianos	219-316-8718

Rule: *FINRA Rule 3510(c)(5).*

## C. Regulators

We are currently members of FINRA. We communicate with our regulators using the telephone, U.S. mail, and in person. In the event of an SBD, we will assess which means of communication are still available to us and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party.

Rule: *FINRA Rule 3510(c)(9).*

## **XI. Critical Business Constituents, Banks, and Counter-Parties**

### A. Business constituents

We have contacted our critical business constituents (businesses with which we have an ongoing commercial relationship in support of our operating activities, such as vendors providing us critical services), and determined the extent to which we can continue our business relationship with them in light of the internal or external SBD. We will quickly establish alternative arrangements if a business constituent can no longer provide the needed goods or services when we need them because of an SBD to them or our firm. Our major suppliers are Office Max and RBC Clearing and Custody.

Rules: *FINRA Rule 3510(c)(7).*

### B. Banks

We have contacted our banks and lenders to determine if they can continue to provide the financing that we will need in light of the internal or external SBD. The bank maintaining our operating account is: American Community Bank, 1001 Main Street, Dyer, IN 46311. Our Proprietary Account of Introducing Brokers/Dealers (PAIB account) is being held by RBC Clearing and Custody as our Clearing Deposit. If our banks and other lenders are unable to provide the financing, we will seek alternative financing immediately from American Community Bank, 1001 Main Street, Dyer, IN 46311.

Rules: *FINRA Rule 3510(c)(7).*

### C. Counterparties

We do not have any counterparties, such as other broker-dealers or institutional customers, so we currently do not need to worry about such transactions.

Rules: *FINRA Rules 3510(a) &(c)(7).*

## **XII. Regulatory Reporting**

Our firm is subject to regulation by the SEC and FINRA. We now file reports with our regulators using the Internet. In the event of an SBD, we will check with the SEC, FINRA, and other regulators to determine which means of filing are still available to us and use the means closest in speed and form (written or oral) to our previous filing method. In the event that we cannot contact our regulators, we will continue to file required reports using the communication means available to us. Our FINRA contact person is Arlene Lytle, her direct phone number is 213-613-2686

*Rule: FINRA Rule 3510(c)(8).*

## **XIII. Disclosure of Business Continuity Plan**

We will provide in writing a BCP disclosure statement to customers at account opening. We also plan on posting the disclosure statement on our Web site and mail it to customers upon request.

*Rule: FINRA Rule 3510(e).*

## **XIV. Updates and Annual Review**

Our firm will update this plan whenever we have a material change to our operations, structure, business, or location or to those of our clearing firm. In addition, our firm will review this BCP annually, as part of the annual compliance meeting, to modify it for any changes in our operations, structure, business, or location or those of our clearing firm.

*Rule: FINRA Rule 3510(b).*

## **XV. Senior Manager Approval**

I have approved this Business Continuity Plan as reasonably designed to enable our firm to meet its obligations to customers in the event of an SBD.

*Rule: FINRA Rule 3510(d).*

Signed:



Title:

President

Date:

05/07/2025