



BUSINESS CONTINUITY PLAN

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PFS GROUP: THREE COMPANIES SHARING THE SAME VISION

PUPLAVA FINANCIAL SERVICES, INC
Registered Investment Advisor

PUPLAVA SECURITIES, INC
Broker/Dealer MEMBER FINRA/SIPC

FINANCIAL SENSE[®]
Investor Education

PFS Group has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If after a significant business disruption, you cannot contact us as you usually do at (858) 487-3939, you should call our alternative number (858) 487-2320 or go to our website at www.puplava.com. If you cannot access us through either of those means, you should contact our clearing firm, National Financial Services LLC (NFS) at (800) 801-9942 for instructions on how it may assist you in accessing your accounts.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business. Our clearing firm, National Financial Services, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within specified times as mandated by the US Securities Exchange Commission (SEC), NYSE, and Financial Industry Regulatory Authority (FINRA). Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within times specified by the SEC, NYSE, and FINRA. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume businesses in a timely fashion with emphasis on recovery of critical functions according to their time criticality. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site www.puplava.com or our customer emergency number, (858) 487-3939 how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at (858) 487-3939 or send an email to support@puplava.com

BUSINESS CONTINUITY PLAN: CONTACT LIST

PFS GROUP

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Website www.puplava.com | Email support@puplava.com

NATIONAL FINANCIAL SERVICES LLC – Clearing Firm

350 California Street, Floor 5, San Francisco, CA 94101
Tel (415) 445-7100 [Business Continuity Plans](#)
Customer Service (800) 801-9942

FINANCIAL INDUSTRY REGULATORY AUTHORITY [FINRA] – Member Oversight

Regional Office Supervision
300 S. Grand Avenue, Suite 1600, Los Angeles, CA 90071
Tel (213) 613-2625 Fax (213) 617-3299

National Office
1735 K Street, Washington, DC 20006
Call Center (301) 590-6500 www.finra.org

U.S. SECURITIES AND EXCHANGE COMMISSION (SEC)

Regional Office
444 South Flower Street, Suite 900, Los Angeles, CA 90071
Tel (323) 965-3998 losangeles@sec.gov

National Office
100 F Street NE, Washington, DC 20549
Tel (202) 942-6088

CALIFORNIA DEPARTMENT OF OVERSIGHT

Regional Office
300 S. Sprint Street, Suite 15513, Los Angeles, CA 90013-1259
Tel (213) 897-2085 Fax (213) 897-8860

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1515 K Street, Suite 200, Sacramento, CA 95814-4052
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