

Quad-Cities Investment Group, LLC

Business Continuity Plan (BCP)

I. Emergency Contact Persons

Our firm's emergency contact person is:

Scott L. Stoltenberg, Partner and Chief Compliance Officer

5177 Utica Ridge Road
Davenport, IA. 52807
Phone: (563) 528-4391

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.

Mr. Stoltenberg is responsible for approving the plan and for conducting the required annual review. Mr. Stoltenberg has the authority to execute this Business Continuity Plan.

If in the event of a major catastrophe of the Davenport office, the following procedures will go into effect.

Upon arrival at 5177 Utica Ridge Road, any staff member should ascertain the condition of the office due to a major catastrophe and make the decision to immediately begin notifying other staff members via cell phone and proceed to the Disaster Recovery Office ("DRO" – see Section V for actual address). If the staff member is not sure to the extent of, or consequences of, the catastrophe, that staff member should contact a member of the senior management immediately or wait for them to arrive.

III. Business Description

Quad-Cities Investment Group, LLC is an Investment Advisory firm involved in the financial management of client accounts.

Our clearing firm is Raymond James & Associates, Inc. – 880 Carillon Parkway, St. Petersburg, FL 33716

Raymond James & Associates, Inc.'s Phone Number is: 800-248-8863

IV. Office Locations

Quad-Cities Investment Group, LLC has its office located in Davenport, IA. We engage in order taking and entry at this location.

V. Alternative Physical Location of Employees

In the event of an SBD, we will move our trading desk operations to the following site:

2450 Hunter Rd.
Bettendorf, IA 52722

VI. Customers' Access to Funds and Securities

Our firm does not maintain custody of customers' funds or securities. Raymond James & Associates, Inc. does hold our clients funds or position. 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.

VII. Data Back-up and Recovery

Our firm maintains its primary books and records in its Davenport office and its electronic records are stored in Office 365 SharePoint.

If our primary site is inoperable, we will continue operations from our back-up site or an alternate location.

VIII. Financial and Operational Assessments

In the event of an SBD, we will immediately identify what means will permit us to communicate with our customers, employees, critical business constituents, and regulators. Although the effects of an SBD will determine the means of alternative communication, the communications options we will employ will include our Web site (www.quadcitiesinvestmentgroup.com), telephone voice mail, and secure email. In addition, we will retrieve our key activity records as described in the section above, Data Back-Up and Recovery.

In the event that Quad-Cities Investment Group, LLC is put in a position to raise funds due to a credit issue, the firm will apply for a loan or credit line through one of the banking institutions it currently uses.

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.

Internet Connection

Our DRO has an internet connection that will enable us to access Raymond James Virtual Private Network. Our internet carrier is CS Technologies.

DRO Telephone System

Quad-Cities Investment Group, LLC has a telephone system in place at the DRO office that our trading office phones can be transferred to in the event of a SBD.

IX. Critical Business Constituents, Banks, and Counter-Parties

Our critical business constituents, banks, etc. will be contacted by Mr. Stoltenberg, Member and Chief Compliance Officer from his residence.

X. Disclosure of Business Continuity Plan

We provide in writing a BCP disclosure statement to customers upon request. We also make available the disclosure statement on our Website.

XI. 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.

XII. Senior Management Approval

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

Signed: 
Title: Partner and Chief Compliance Officer
Date: 2-6-2020

