

## Checklist of Important Documents for Your Continuity Vault

Not comprehensive, provides a starting point of items to consider, tailor to meet your business unique needs

### Operating Documents Your Emergency Continuity Partner Will Need To Access

- Certificate of Organization/Articles of Incorporation
- Operating Agreement/Shareholder Agreement (if you have any corporate structure other than a sole prop, you should have these documents)
- Services Agreement (for affiliated companies)
- Broker-Dealer/Custodian/OSJ Agreement(s)
- Business Plan (if you don't already create an annual business plan, now might be a good time to start)
- Vendor Contracts
- Lease Agreements
- Loan Agreements
- Business Insurance Documents
- Interim Continuity Plan (this document facilitates the transition/sale of your business – or temporary management – should there be a triggering event)
- Succession Plan (this is your eventual retirement/exit plan)
- Disaster Recovery Plan (this document outlines how firm operations will continue if there is an event such as a fire, hurricane, or other catastrophic event)
- Client Communications
- Marketing Documents

### Financial Documents to Include in your Continuity Vault

- Prior Three-Year Profit and Loss Statement
- Prior Three-Year Balance Sheet
- Future Year Budget
- Current Firm Valuation

### HR/Employee Documents to Include in your Continuity Vault

- Employment Agreement(s)
- Confidentiality Agreement(s)
- Non-Compete/Non-Solicitation Agreement(s)
- Org Chart (to include bio, position, date of hire)
- Roles/Responsibilities Description
- Detailed job instructions for key employees
- Compensation/Salary Data
- Bonus Arrangements
- Employee Benefit Plans
- Stock Ownership Plans
- Keyman Insurance Policies
- Services Agreement (contractors)
- New Hire/Training Modules

### Personal Documents to Include in your Continuity Vault

- Personal Will (if you haven't reviewed this lately, now is a good time to do so!)
- Estate Documents
- Insurance Policy