

CONNAUGHT (U.S.) LLC
BUSINESS CONTINUITY PLAN

Connaught (U.S.) LLC (the “Firm”) has developed a Business Continuity Plan (“BCP”) to manage and mitigate the impact of events that have the potential to significantly disrupt 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 transpire. The BCP is designed to enable us to recover and return to business operations as quickly as possible.

In the event of a significant business disruption, we will assess which means of communication are still available to us and communicate accordingly with clients, where necessary. If you cannot communicate with us as you usually do, you should contact us at contact@connaught.com.

We believe that we have implemented reasonable measures to quickly resume business operations after a significant business disruption and safeguard our employees, property, and books and records. The BCP 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; and regulatory reporting.

We plan to mitigate the impact of any disruption through a combination of data redundancy, secondary location, and remote computing. However, in the event of a business disruption, we cannot guarantee that we will be able to continue or resume business operations within any specified period of time.

If you have questions about the BCP, you can contact us at contact@connaught.com.

The information contained in this disclosure is provided by the Firm for informational purposes only, and nothing contained herein shall be construed to amend, supplement or otherwise modify any of the terms and conditions set forth in any customer agreement between you and the Firm.

