
Daroth Capital Advisors LLC

Business Continuity Plan

BUSINESS CONTINUITY PLAN SUMMARY

Daroth Capital Advisors LLC Business Continuity Planning

Daroth Capital Advisors LLC has developed a Business Continuity Plan detailing 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 by calling (212) 687-2500, our Firm’s main number. If you cannot access us, you should contact **our President and CEO, Peter Rothschild at (917) 453-2761 or our Chief Administrative Officer, Laura Rothschild at (917) 453-0374 with any questions or business requests.**

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 our Firm’s books and records, and allowing us 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 back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with clients, employees, and regulators; alternate physical location of employees; critical suppliers, contractors, bank and counter-party impact; regulatory reporting.

We backup our electronic records on tape on a daily basis and maintain these records in geographically separate locations.

Every emergency situation poses unique problems based on external factors, such as time of day, location and severity of the disruption.

In the event of an emergency situation preventing access to or resulting in the loss or destruction of, our main computer hardware system located in our Main Office in New York, New York, we currently anticipate that it may take approximately 1 business day to rebuild this system which is required to read the off-site back up tapes maintained by our a business continuity plan team.

In the event of an emergency situation which results in the loss or destruction of our file server, we estimate that it may take up to 1 business day to restore this system.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only affecting 130 East 59th Street, New York, NY 10022 a single building housing our main office, the business district where our main office is located, the city where our main office is 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 an unaffected temporary site, or to an alternate available local site(s) where we would expect to recover and resume business as soon as our affected communication systems are restored. In a disruption affecting our business district, city, or region, we will transfer our operations to an available alternate site(s), and recover and resume business as soon as our affected communication systems are restored. In either situation, we plan to continue in business, and notify you by telephone or other available communication means about how to contact us.

For more information – If you have questions about our business continuity planning, you can contact us at:

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