



## **Business Continuity Plan Summary**

A Business Continuity Plan is required to ensure that essential functions of the organization are able to continue in the event of significant business disruption (SBD).

Business Continuity Planning is a complex and important activity that affects the entire financial industry. We hope that the business continuity plan is never required, however, in the event it is needed, we want to assure you that Carty & Company, Inc. has plans in place for continuing service to our clients during emergencies or other business disruptions.

### **Plan Overview**

Our Business Continuity Plan (BCP) provides methods and procedures for restoration of mission critical services in the event of a natural or manmade disaster or other emergencies that result in partial or total service interruption of our business.

Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation, acts as the clearing firm for Carty & Company. Pershing has developed an independent plan. Carty & Company clients who maintain Pershing accounts should visit Pershing's Business Interruption Support page at <https://www.pershing.com/disclosures>.

As with any matters of this importance, we are continually reviewing and evaluating our BCP to implement improvements, and as such, the plan and this notice are subject to modifications. This notice in its most current form will be posted on our website, [www.cartyco.com](http://www.cartyco.com).

To receive up-to-date information during a significant business disruption, Clients may call Carty & Company's emergency telephone number at (800) 767-8940 or visit our emergency information Web page at <http://www.cartyco.com/alert>



## **Disruption to our Main Facility**

In the event of a significant business disruption to Carty & Company's main facility, we will transfer mission critical operations to its back-up facilities. In this process, Customers may experience a delay in reaching Carty & Company due to technology issues or other related difficulties. In this event, Carty & Company expects that operations could be disrupted for up to one (1) day.

## **Regional Disruption**

In the event of a significant business disruption that affects our region, Carty & Company will first try to leverage our backup facility. The backup facility maintains power generation and has earthquake proof ratings. Redirection of main telephone numbers will provide customers with the ability to reach the recovery site. In this process, Customers may experience a delay in reaching Carty & Company due to technology issues or other related difficulties. In this event, Carty & Company expects that operations could be disrupted for up to three (3) days

## **Additional Information**

The Business Continuity plan is the responsibility of Bill R. Carty. It is updated as needed and reviewed annually by senior management to ensure understanding and compliance. If you have any questions or would like to request a copy of Carty & Company, Inc.'s most recent BCP summary, please contact your account representative.