

BFY SECURITIES, LLC BUSINESS CONTINUITY PLANNING

BFY Securities, LLC has developed a Business Continuity Plan on 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, you should call either Nick McCoy at 508-954-4931 or Mike Burgmaier at 207-232-2480 or go to our website at www.whipstitchcapital.com.

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 the firm’s books and records, and allowing our customers 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 backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Varying Disruptions – Significant business disruptions can vary in their scope. In any significant business disruption, we plan to continue in business and notify you through our website: www.whipstitchcapital.com, or our principals: Nick McCoy at 508-954-4931 or Mike Burgmaier at 207-232-2480 as to how to contact us.

For more information – If you have questions about our business continuity planning, you can contact either Nick McCoy or Mike Burgmaier