

# **Business Continuity Plan Summary Document**

Hunter Associates maintains a business continuity plan, including redundant data storage, alternate processing facilities and varied communication options, to address interruptions to our normal course of business. The plan is reviewed annually and updated as necessary. Our plan outlines the actions Hunter Associates will take in the event of a building, city-wide, or regional incident. We will relocate technology and operational personnel to alternate locations that are equipped to continue normal operations.

Hunter Associates is an introducing firm and does not perform any type of clearing or hold any client assets in custody. We accept and enter orders. All transactions are sent to our clearing firm, which executes our orders, compares them and settles them. Our clearing firm also maintains our customers' accounts, can grant customers access to them, and delivers/receives funds and securities. We also utilize various mutual fund and insurance companies to accept transactions, custody client assets and directly service the relationships.

In the event of an internal or external Significant Business Disruption (SBD), if telephone and internet service is available, our registered persons will take customer orders or instructions and contact our clearing firm on their behalf, and if our website is available, our firm will post on our website that customers may access their funds and securities by contacting the clearing firm directly to process limited trade-related transactions, cash disbursements, and security transfers. For information about how to request funds and securities when we cannot be contacted, please visit the Business Continuity Disclosure section of the Pershing website at [www.pershing.com](http://www.pershing.com) for directions on how to provide instructions to Pershing. The information listed above is to be used only if you can't reach Hunter Associates. All direct telephone communications with us will be redirected to the alternate sites. The other custodians of client assets can be reached directly by using the contact information listed on directly mailed client statements.

In the event of an SBD, we will immediately identify what means will permit us to communicate with our customers, employees, critical business constituents, critical banks, critical counterparties, and regulators. Although the effects of an SBD will determine the means of alternative communication, the communications options we will employ will include our telephone service, voicemail, secure email, fax, cell phone, written correspondence and web access. In addition, we will retrieve our key activity records that are stored in hard copy and electronic formats. Our clearing firm contract provides that our clearing firm will maintain a business continuity plan and the capacity to execute that plan. All communications in the event of an SBD will be made by the fastest alternative means available.

All Hunter Associates operational facilities are equipped for resumption of business and reviewed periodically. Our recovery time objective for business resumption is based on varying intensities. Local disruptions not involving our clearing firm and some form of alternate communication with the clearing firm, would create a recovery time objective of less than one business day. Our clearing firm and other custodians are located at other sites outside the region. The clearing firm recovery time objective for business resumption, including those involving a relocation of personnel or technology, is six hours.

The Business Continuity Plan at Hunter Associates is a plan to respond to any SBD both internally and externally. Any questions beyond this summary of the Business Continuity Plan should be directed to Brad J. Marshall, emergency contact person at (412) 765-8927.