

## **Business Continuity Plan Disclosure Statement**

Our firm's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the firm's books and records, and allowing our customers to transact business. In the event that we determine we are unable to continue our business, we will assure customers prompt access to their funds and securities.

Our plan anticipates two kinds of SBDs, internal and external. Internal SBDs affect only our firm's ability to communicate and do business, such as a fire in our building. External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a city flood, hurricane or a wide-scale, regional disruption. Our response to an external SBD relies more heavily on other organizations and systems, especially on the capabilities of our different custodians.

In most internal and external SBDs our operations can be resumed within hours from alternate locations with internet access or via mobile phones. We maintain two different back-up facilities for our electronic records. Back-up data can either be retrieved through an online back-up service or through an external media device kept at an alternate location in the Miami area.

If telephone service is available, our registered persons will take customer orders or instructions and contact custodian firms on their behalf, and if our Web access is available, our firm will post on our Web site that customers may access their funds and securities by contacting Robert Mori. In addition the clients have access to the custodian bank directly and can execute any order, trade directly with the respective contact person.

Our main telephone number is: +1 305 856 9303

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The detailed business continuity plan can be obtained at request. Please e-mail [robert.mori@morihuston.com](mailto:robert.mori@morihuston.com).