

## **Dorsey & Company, Inc. Business Continuity Plan Disclosure**

Dorsey & Company, Inc. ("Dorsey") is committed to providing the services and support systems necessary to conduct ongoing business under regular and irregular conditions. This Business Continuity Plan Disclosure (the "BCP") provides a summary of Dorsey's risk mitigation strategy in the event of interruption(s) to daily business operations. The Plan is designed to support all Dorsey obligations to clients in the event of a major disruption. The BCP is intended to comply with obligations pursuant to regulatory rules and requirements as promulgated by The Financial Industry Regulatory Authority ("FINRA").

Our clearing firm, First Clearing ("FCC"), [First Clearing is a trade name used by Wells Fargo Clearing Services, LLC, Member SIPC, a registered broker-dealer and non-bank affiliate of Well Fargo & Company.] regularly backs up its important information in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, FCC has a thorough Business Continuation Plan in place. FCC has advised us that its objective is to restore its own operations in order to complete existing transactions and accept new transactions and payments in a timely manner.

Dorsey's BCP is intended to prevent the loss of connectivity to or from FCC in order to provide continual client support. Regardless of the scope of disruption (firm-only, single building disruption, and area or city-wide disruption), Dorsey believes that our plan adequately identifies and mitigates our risk as it pertains to business continuity.

As a client of Dorsey, we recognize you may need access to your account to sell a position or request a check before we can re-establish telephone or other communication services with you. During this time, our clearing firm, First Clearing, will assist you with sell or liquidation orders and provide check disbursements, as required. If you cannot contact our firm by any means, please call First Clearing, for assistance at (877) 496-3223.

Dorsey maintains updated contact lists for all employees. We can contact our employees through a number of methods, including broadcast communications via our website, e-mail, and telephone. All of our senior managers will be contacted directly in the event of a significant business disruption.

Dorsey believes that business continuity planning is a year round responsibility demanding participation from all employees and significant business partners. In the event of an emergency, we believe adequate planning has been given to identifying alternate site options depending on the location, severity and magnitude of the business interruption. We are confident of the annual testing, training, maintenance and business resumption procedures of our various business partners.

Regardless of all the effort put forth on business continuity planning, we acknowledge that no disaster recovery plan is perfect. The unpredictable nature of disasters precludes absolute preparedness in any plan. Certain situations may arise that affect outside entities upon which we rely for some measure of service or collaboration. Though our plan is reviewed regularly, it is possible for circumstances to arise outside of what has been defined with our review.

This BCP is subject to change without notice. In the event that the BCP is modified, the updated disclosure will be posted to Dorsey's internet website ([www.dorseyco.com](http://www.dorseyco.com)). A hardcopy of Dorsey's BCP Disclosure can be requested by contacting the following number, (504) 524-5431. The information provided in this disclosure is for informational purposes only.