

## **Bolton Global Capital and Bolton Securities Corp. Business Continuity Plan**

Bolton Global Capital and Bolton Securities Corp. have developed a Business Continuity Plan to respond to events that significantly disrupt our businesses. 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 at 800-649-3883, you should call our alternative number 978-779-5361 or go to our websites at [www.boltonglobal.com](http://www.boltonglobal.com) and [www.boltonsecurities.com](http://www.boltonsecurities.com). If you cannot access us through either of those means, you should contact your clearing firm, Pershing LLC, at 888-367-2563 and [www.pershing.com](http://www.pershing.com) or Raymond James and Associates, Inc. at 800-248-8863 or [www.raymondjames.com](http://www.raymondjames.com) for instructions on how you may be provided prompt access to funds and securities, enter orders and process other trade related, cash, and security transfer instructions.

**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 back up 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.

Our clearing firms, Pershing LLC and Raymond James and Associates back up our most important records in geographically separate areas. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firms that their objectives are to restore their own operations and be able to complete existing transactions and accept new transactions and payments within four hours. Your orders and requests for funds and securities could be delayed during this period.

**VARYING DISRUPTIONS:** Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within four hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside our affected area, and recover and resume business within four hours. In either situation, we plan to continue in business, transfer operations to our clearing firms if necessary, and notify you through our web site or our emergency number, 978-779-5361, how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

If you have any questions about our business continuity planning, you can contact us at 800-649-3883