

*Helping investors build wealth since 1908*

## *Business Continuity Plan*

*David A. Noyes & Company has developed a Business Continuity Plan that explains how the firm will respond to events that may significantly disrupt our business. Since the timing and impact of potential disasters and disruptions are unpredictable, the plan is designed to be flexible and responsive to actual events as they occur. With that in mind, we feel it important to provide you with an outline of our business continuity plan.*

### **CONTACTING US**

If after a significant business disruption you cannot contact your local branch office as you usually do, you should contact us at one of alternate telephone numbers listed below:

- Chicago Office: (312) 782-0400
- Indianapolis Office: (317) 634-6563
- Oak Park (IL) Office: (708) 383-5500

You may also check our website for additional information: [www.danoyes.com](http://www.danoyes.com).

If you cannot access us through any of the above means, you should contact our clearing firm, First Clearing, LLC, at 1-800-727-0304 or [www.FirstClearing.com](http://www.FirstClearing.com) for instructions on how it may assist you in effecting transactions or accessing your account holdings.

### **OUR BUSINESS CONTINUITY PLAN**

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. We plan to recover expeditiously 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 assisting our customers to transact business.

Our business continuity plan addresses: data back-up and recovery; all critical mission systems; financial and operational assessments; alternative communications with customers, employees, and regulators. Further it addresses alternate physical location of employees, critical supplier(s), contractor(s), bank and counter-party impact and regulatory reporting. It also provides details on our expectation of assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm, First Clearing, LLC, backs-up our important records in geographically separate areas. While every emergency situation poses unique problems based on external factors, we have been advised by our clearing firm that its objective is to restore its own operations within 2 ½ hours to be able to complete existing transactions, and accept new transactions. Your orders and requests for funds and securities could be delayed during this period.

### **VARYING DISRUPTIONS**

A significant business disruption can vary in its scope based on the time of day it occurs and whether it is isolated (i.e., only our firm, a single building housing our firm) or more wide-spread (i.e., business district where our firm is located, the city where we are located, the

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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 two hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and expect to recover and resume business within three hours. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site [www.danoyes.com](http://www.danoyes.com) or one of our customer emergency/alternate numbers listed above. If the business disruption is so severe that it prevents us from remaining in business, we will strive to provide our customer's prompt access to their funds and securities.

### **FOR MORE INFORMATION**

If you have questions about our business continuity planning, you can contact us at (312) 782-0400.