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### **Swiftsure Securities LLC Business Continuity Planning**

Swiftsure Securities LLC has developed a Business Continuity Plan describing how we will respond to events that significantly disrupt our business. 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 (206) 903-1001, you should call our compliance consultant, Precedent Consulting, at (206) 420-4171. Precedent Consulting has agreed to serve as a back-up point of contact in the event of a significant business disruption. If you cannot access us through any of those means, you should contact the issuer who sponsored the private investment you may have purchased through us. The contact information for the issuer is provided to you at the time of a transaction. Swiftsure Securities does not hold your funds or securities; in all cases, your securities are recorded on the books of the issuer or, if the transaction has not yet closed, your funds are held at the escrow bank to whom you previously wired funds or made payable a check.

**Our Business Continuity Plan** – Because we do not carry funds or securities of customers or engage in traditional brokerage transactions, we may not elect to resume business after a significant business disruption. We will certainly respond by safeguarding our employees and property, making a financial and operational assessment, and protecting the firm’s books and records.

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.

**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 the building housing our firm, we will likely transfer our operations to a local site when needed and expect to recover and resume business within one week. In a disruption affecting our business district, city, or region, we may not elect to transfer our operations. In either situation, however, we have provided you with direct contact information concerning your investments, and will attempt to notify you through our website, via email, or by phone, of the current status of Swiftsure’s business operations, and to provide additional contact details, as applicable. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers prompt access to their funds and securities, as these are always held by either the issuer (post-closing) or the independent escrow bank (pre-closing).

**For more information** – If you have questions about our business continuity planning, you can contact us at (206) 903-1001 or [info@swiftsurecap.com](mailto:info@swiftsurecap.com).