

# Ardour Capital Investments Business Continuity Plan

## I. Firm Policy

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. Access to all data can be obtained through a backup disk drive which is recorded twice a month and kept in a safe off premises. Such data is accessible by both emergency contact persons.

### A. Significant Business Disruptions (SBDs)

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, 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 clearing firm.

### B. Approval and Execution Authority

Brian J Greenstein, a registered principal, is responsible for approving the plan and for conducting the required annual review. Brian J Greenstein has the authority to execute this BCP.

### C. Plan Location and Access

Our firm will maintain copies of its business continuity plan (BCP) and the annual reviews, and the changes that have been made to it for inspection. We have given FINRA's District 10 office a copy of our plan. An electronic copy of our plan is located on the Ardour server in the Ardour Business Continuity Folder and in the BCP Repository Service.

## II. Business Description

Our firm conducts business in equity securities. We do not hold customer funds or securities we do however introduce qualified investors to Corporate clients. We do not accept customer orders; we do not make markets. Our firm acts primarily as an advisor of Corporate client as well advice on Mergers & Acquisitions.

## III. Office Locations

Our Firm has one office located in at 780 Long Beach Blvd, Long Beach, NY 11561. The main telephone number is 1-212- 375-2950. Our employees may travel to that office by means of foot, car, subway, train, bus, boat, and plane. We engage in meeting clients at this location.

## IV. Alternative Physical Location(s) of Employees

In the event of an SBD, we will move our staff from affected offices; they can be reached through email at Bgreenstein@ardourcapital.com.

## V. Customers' Access to Funds and Securities

Our firm does not maintain custody of customers' funds or securities we do not have a clearing firm. Our firm is a member of SIPC. If SIPC determines that we are unable to meet our obligations to our customers or if our liabilities exceed our assets in violation of Securities Exchange Act Rule 15c3-1, SIPC may seek to appoint a trustee to disburse our assets to customers. We will assist SIPC and the trustee by providing our books and records identifying assets subject to SIPC regulation.

## **VI. Data Back-Up and Recovery (Hard Copy and Electronic)**

Our firm maintains its primary hard copy books and records and its electronic records at 780 Long Beach Blvd, Long Beach, NY 11561. Brian J. Greenstein is responsible for the maintenance of these books and records. Our firm maintains the following document types and forms that are not transmitted to our clearing firm: Employee ID's and files, client correspondence, and regulatory correspondence. Our firm maintains its back-up hard copy books and records at an undisclosed location which is on file with FINRA. These records are paper copies and electronic copies. Brian J. Greenstein is responsible for the maintenance of these back-up books and records. Our firm backs up its paper records by copying and taking them to our back-up site. We back up our records every quarter. The firm backs up its electronic records twice monthly by Walter V. Nasdeo and keeps a copy at the backup location. In the event of an internal or external SBD that causes the loss of our paper records, we will physically recover them from our back-up site. If our primary site is inoperable, we will continue operations from our back-up site or an alternate location. For the loss of electronic records, we will either physically recover the storage media or electronically recover data from our back-up site, or, if our primary site is inoperable, continue operations from our back-up site or an alternate location.

## **VII. Financial and Operational Assessments**

### **A. Operational Risk**

In the event of an SBD, we will immediately identify what means will permit us to communicate with our customers, employees, critical business constituents, critical banks, critical counter-parties and regulators. Although the effects of an SBD will determine the means of alternative communication, the communications options we will employ will include our Web site, telephone voice mail, secure e-mail, etc. In addition, we will retrieve our key activity records as described in the section above, Data Back-Up and Recovery (Hard Copy and Electronic).

### **B. Financial and Credit Risk**

In the event of an SBD, we will determine the value and liquidity of our investments and other assets to evaluate our ability to continue to fund our operations and remain in capital compliance. We will contact our , critical banks, and clients to apprise them of our financial status. If we determine that we may be unable to meet our obligations to those counter- parties or otherwise continue to fund our operations, we will request additional financing from our bank or other credit sources to fulfill our obligations to our customers and clients. If we cannot remedy a capital deficiency, we will file appropriate notices with our regulators and immediately take appropriate steps, including ceasing operation and transfer of accounts.

## **VIII. Mission Critical Systems**

Our firm's "mission critical systems" are primarily our diligence files, email storage and employees. We have primary responsibility for establishing and maintaining our business relationships with our customers and have sole responsibility for our mission critical functions of order taking and entry and execution. There are not, however, hard and fast deadlines that must be met in every emergency situation, and various external factors surrounding a disruption, such as time of day, scope of disruption, and status of critical infrastructure—particularly telecommunications—can affect actual recovery times.

### **A. Our Firm's Mission Critical Systems**

Email Archiving- we currently use megapath as an outside vendor to secure email traffic and all required electronic information is held on a back-up drive located at the residence of Brian J Greenstein

## **IX. Alternate Communications Between the Firm and Customers, Employees, and Regulators**

### **A. Clients**

We now communicate with our Clients using the telephone, e-mail, fax, U.S. mail, and in person visits at our firm or at their location. In the event of an SBD, we will assess which means of communication are still available to us and use the means closest in speed and form (written or oral) to the means that we have used in the past to

communicate with the other party. For example, if we have communicated with a party by e-mail but the Internet is unavailable, we will call them on the telephone and follow up where a record is needed with paper copy in the U.S. mail.

## **B. Employees**

We now communicate with our employees using the telephone, e-mail, and in person. In the event of an SBD, we will assess which means of communication are still available to us and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party. We will also employ a call tree so that senior management can reach all employees quickly during an SBD. The call tree includes all staff home and office phone numbers. We have identified persons, who live near each other and may reach each other in person.

## **C. Regulators**

We are currently a member of FINRA. In addition, we are registered with, and regulated by, the SEC and the various states in which we conduct business. We communicate with our regulators using the telephone, e-mail, fax, U.S. mail, and in person. In the event of an SBD, we will assess which means of communication are still available to us and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party.

## **X. Critical Business Constituents, Banks, and Counter-Parties**

### **A. Business constituents**

We have contacted our critical business constituents (businesses with which we have an ongoing commercial relationship in support of our operating activities, such as vendors providing us critical services), and determined the extent to which we can continue our business relationship with them in light of the internal or external SBD. We will quickly establish alternative arrangements if a business constituent can no longer provide the needed goods or services when we need them because of a SBD to them or our firm.

### **B. Banks**

We have contacted our banks and lenders to determine if they can continue to provide the financing that we will need in

light of the internal or external SBD.

### **C. Counter-Parties**

We have contacted our critical counter-parties, such as other broker-dealers or institutional customers, to determine if we will be able to carry out our transactions with them in light of the internal or external SBD. Where the transactions cannot be completed, we will work with our clearing firm or contact those counter-parties directly to make alternative arrangements to complete those transactions as soon as possible.

## **XI. Regulatory Reporting**

Our firm is subject to regulation by: FINRA, SEC, AZ, CA, CT, DE, DC, FL, GA, IL, KS, KY, MA, MN, NC, NJ, NY, PA, SC, TX, VA and WI. We now file reports with our regulators using paper copies in the U.S. mail, and electronically using fax, e-mail, and the Internet. In the event of an SBD, we will check with the SEC, FINRA, and other regulators to determine which means of filing are still available to us and use the means closest in speed and form (written or oral) to our previous filing method. In the event that we cannot contact our regulators, we will continue to file required reports using the communication means available to us. FINRA, 1 Liberty Plaza, NY, NY, 10006, 1-212-412-8980.

## **XII. Disclosure of Business Continuity Plan**

We disclose, in writing, a summary of our BCP to Clients upon request and refer to its full text on our Web site. We also post the summary on our Web site and mail it to customers upon request. Our summary addresses the possibility of a future SBD and how we plan to respond to events of varying scope. In addressing the events of varying scope, our summary: (1) provides specific scenarios of varying severity (e.g., a firm-only business disruption, a disruption to a single building, a disruption to a business district, a city-wide business disruption, and a regional disruption); (2) states whether we plan to continue business during that scenario and, if so, our planned recovery time; and (3) provides general information on our intended response. Our summary discloses the existence of back-up facilities and arrangements.

### **XIII. Updates and Annual Review**

Our firm will review this plan whenever we have a material change to our operations, structure, business or location or to those of our clearing firm. In addition, our firm will review this plan annually, on December 1, to modify it for any changes in our operations, structure, business, or location, or those of our clearing firm.

### **XIV. Senior Manager Approval**

Ardour's Senior Management has approved this Business Continuity Plan as reasonably designed to enable our firm to meet its obligations to customers in the event of an SBD.