



**THE BAKER GROUP, LP  
BUSINESS CONTINUITY PLAN  
CUSTOMER DISCLOSURE DOCUMENT  
December 8, 2008**

The Baker Group, LP has developed and maintains a business continuity plan to address interruptions to our normal course of business. These plans are reviewed annually and updated as necessary. Our plan outlines the actions, The Baker Group, LP will take in the event of a building, city-wide, or regional incident. An off-site facility located in Oklahoma City, with redundant computer capabilities, has been established. Key personnel will be re-located to this facility in the event a significant business disruption has been declared.

Our firm maintains its hard copy books and records and its electronic records at the Oklahoma City, OK office. The electronic records are backed-up at least once daily by copying the data to servers located at our back-up facility. Additionally, a back-up tape is created and carried off-site each night. A back-up tape created on the 15<sup>th</sup> of each month is transported to a secure location for permanent storage.

Our recovery time for business resumption, including relocation of personnel or technology is four (4) hours. This recovery objective may be negatively impacted by the unavailability of external resources and circumstances beyond our control.

In the event of a significant business disruption, those customers for whom we maintain accounts at Pershing LLC, as an introducing broker, may contact us at our alternate telephone number (405) 602-6047 or e-mail us at [bakerpershing@bakerbackup.com](mailto:bakerpershing@bakerbackup.com).

If for any reason, you are unable to reach us by these methods, you may contact Pershing directly to process limited trade-related transactions, cash disbursements, and security transfers. Instructions to Pershing must be in writing and transmitted via facsimile or postal service as follow:

Pershing LLC  
P. O. Box 2065  
Jersey City, N.J. 07303-2065  
Fax: (201) 413-5368

For additional information about how to request funds and securities when The Baker Group, LP cannot be contacted due to a significant business disruption, please call (201) 413-3635 for recorded instructions or you may go the Customer Support page at [www.Pershing.com/customer\\_support.htm](http://www.Pershing.com/customer_support.htm). If you cannot access the instructions for the web site or the previously noted telephone number, Pershing may be contacted at (213) 624-6100, extension 500, as an alternate telephone number for recorded instructions.

