

## THE BAKER GROUP LP BUSINESS CONTINUITY PLAN CUSTOMER DISCLOSURE

The Baker Group LP has developed and maintains a business continuity plan to address possible interruptions to our normal course of business. This plan is reviewed no less than annually and is updated as necessary. Our plan summarizes the actions The Baker Group LP will take in the event of a building, city-wide, or regional disruptive event. The firm has established and maintains redundant system capabilities at a secure off-site facility located in Oklahoma City, OK. Internal testing of the efficacy of these redundancies is conducted no less than annually by firm personnel. In the event a significant business disruption should occur, key personnel will be relocated to this facility.

Our firm maintains its hard copy books and records and its electronic records at the Oklahoma City, OK office. Electronic records are backed-up no less than once daily by copying the data to the servers located at our back-up facility. Additionally, a back-up hard drive created on the 15th of each month is transported to a secure location for permanent storage.

Our approximate 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) 254-5084 or email us at [bakerpershing@bakerbackup.com](mailto:bakerpershing@bakerbackup.com).

If unable to reach us by these methods for any reason, 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 follows:

**Pershing LLC**

PO Box 2065

Jersey City, NJ 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 go to the Customer Support page at <http://www.pershing.com/index.html>. If unable to access the instructions for the website or the previously noted telephone number, Pershing may be contacted at (213) 624-6100, extension 500, as an alternate telephone number for recorded instructions.

Contact our Chief Compliance Officer, Misty Wrinkle, at [mwrinkle@gobaker.com](mailto:mwrinkle@gobaker.com) with any questions regarding the firm's Business Continuity Plan.