## **Business Continuity Plan**

## SCHEDULE E

## BUSINESS CONTINUITY PLAN SUMMARY

Blaylock Van, LLC (the Firm) has developed a Business Continuity Plan to ensure the Firm's preparedness and adaptability in response to events that significantly disrupt our business operations. The Firm's Business Continuity Plan provides for variations in our response to an actual event since the timing and impact of disasters and disruptions are unpredictable. Please keep that in mind as you review the below information summarizing the Firm's Business Continuity Plan (BCP).

Contacting Us. Please contact our clearing firm, Pershing LLC, directly at (201) 413-2000 if after a significant business disruption you are unable to reach an employee of our Firm at our main number (212) 715-6600. Pershing will provide you with instructions on how to promptly access funds and/or securities, enter orders and process other trade-related, cash and security transfer transactions for your account.

Our Business Continuity Plan. The Firm plans to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting our Firm's books and records, and allowing us to transact business. In short, our BCP is designed to permit our Firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our BCP 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 suppliers, contractors, bank and counter-party impact; and regulatory reporting.

It is our Firm's practice to backup our electronic records at both the Main Office and the California Branch Office location using mirroring and automatic data-replication software. This process is interactive and continuous via a secure link between the both the Main Office and California Branch Office locations.

Every emergency situation poses unique problems based on external factors, such as time of day, location and severity of the disruption.

In the event of an SBD involving the loss or destruction of its Main Office, or either Branch Office location computer hardware equipment, our Firm would remand all employees of such office to their homes to continue business operations. Our Firm estimates that it would take approximately four (4) hours to resume normal business operations.

In the event of an emergency situation which results in the loss or destruction of our file server, we estimate that it may take up to ten (10) days to restore this system. The information would be available during the outage from the mirror data server at the alternative site. Our Firm estimates that it would take approximately four (4) hours to fully restore data from the online archives.

Varying Disruptions. Significant Business Disruptions can vary in their scope, such as only affecting 600 Lexington Ave, 3rd Floor, New York, New York 10022, a single building housing our Main Office, or the business district where our Main Office is located, the city where our Main Office is located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe.

If a disruption occurs to only our Firm, or a building housing of our Firm, we will transfer our business operations to employees homes, or if necessary, our Key Personnel will be advised by Mr. Standifer to relocate to either our Main Office or California Branch Office, depending on which site has been affected, where we would expect to recover and resume business as soon as our affected communication systems are restored. In a disruption affecting our business district, city, or region, we will have all of our employees and Key Personnel work from home, provided, however, that Key Personnel will be transferred to either the Main Office or the California Branch Office, by Mr. Standifer, depending on which site has been affected, and recover and resume business as soon as our affected communication systems are restored. In either situation, we plan to continue in business, and notify you by telephone or other available communication means about how to contact us.

For more information. If you have questions about our business continuity planning, you can contact us at:

Eric V. Standifer

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