



Business Continuity and Contingency Plans

In accordance with the Financial Industry Regulatory Authority ("FINRA") Rule 4370(e), we want to make you aware of our business continuity plan ("BCP") in case of an emergency.

QuantRiver Financial' places the utmost importance on the trust of its customers and in maintaining the safety and accessibility of their assets. Thus QuantRiver Financial' has dedicated considerable resources and developed backup systems that will continue to operate in situations of varying severity.

Our plans are designed to ensure that QuantRiver Financial' will continue to function with little or no disruption, that your assets will be secure and accessible, and that you will be able to reach us regardless of the scope of the situation.

Contingency Plans

QuantRiver Financial' has developed contingency plans that will permit it to continue to operate in the event that there is a significant business disruption affecting our business location. QuantRiver Financial' recovery strategies provide for the transfer of operations to one or more redundant back up facilities in the event of a disruption to a primary site. If the primary location of the firm's internet servers is affected, internet operations will be run from another site. In the event of a prolonged disruption to our home office our BCP provides for relocation of staff to another location where we will continue to provide the best service possible.

QuantRiver Financial' also has contingency plans that will permit it to continue to operate in the event that there is a significant business disruption to its business systems. QuantRiver Financial' has independent backup centers, which provide for equipment and processing duplication, and, the network links supporting our infrastructure are distributed between the primary and backup centers. The backup data center has been tested successfully. Our primary data center is connected to an uninterruptible power supply and generators as well as other equipment to protect the servers from power failures. Backups are performed routinely to ensure all information can be recovered accurately.

However, no assurance can be given that service will continue without interruption in certain circumstances, such as a regional blackout, a natural disaster or a terrorist attack. In the

unlikely event that QuantRiver Financial' has determined that it cannot resume operations within a reasonable amount of time, QuantRiver Financial will provide as much advance notice as possible regarding its operations and Customer support.

Communication with QuantRiver Financial'

QuantRiver Financial' is confident that Customers will continue to have access to their accounts in the event of a significant business disruption, QuantRiver Financial' will notify Customers of any disruptions by posting a notice on our website, an email to Customers or through a message on our telephone system.

We suggest that you familiarize yourself with the various means through which you can access your account or contact QuantRiver Financial' Customer support. Those methods are:

- Online at www.QuantRiverFinancial.com
- By Telephone at (239) 244-8787
- By email at support@QRFin.com

At a minimum, our BCP is reviewed and audited annually. Please be aware that due to the unpredictability of events, this document provides only general guidance. Furthermore, QuantRiver Financial' will update our BCP on an as needed basis when changes are deemed necessary, without advance notification, in order to address additional unforeseen situations. Updated plans will be promptly posted on our website at www.QuantRiverFinancial.com.

Should you require a BCP summary, forward your written request to QuantRiver Financial, LLC. 4048 Evans Avenue, Suite 207, Fort Myers, Florida 33901