



## **HRC Fund Associates Business Continuity Plan Summary Disclosure**

### **Overview**

HRC Fund Associates, LLC (“HRC Fund Associates;” the “Firm”) has created and implemented a business continuity plan (“BCP”) in an effort to mitigate the effects related to unforeseen business interruptions. This BCP is designed to enable the Firm to continue or resume operations in the event of an emergency or significant business disruption (“SBD”).

### **Communications and locations of Employees during a disruption**

In the event of a SBD, HRC Fund Associates will communicate with its employees in several different ways. The Firm will employ principally a tiered calling tree, which would be implemented by management in the event of an SBD. The BCP also addresses the relocation of staff to alternative back-up locations in the New York area that would be available with communications equipment in order for representatives and principals to be able to run the Firm’s business for an interim period of time. Recovery time for most of the applications and relocation to the alternate location is expected to range from immediate to 24 hours.

### **Communications with Customers**

HRC Fund Associates is currently able to communicate with its clients using the telephone, email, fax, postal mail, and in person. In the event of an SBD, HRC Fund Associates will assess which means of communication are still available and use the means closest in speed to the means used in the past. The emergency contact person in New York is currently Mr. Timothy W. Reick, CEO, Phone: (212) 240-9726, Cell: (917) 797-6091, [treick@hrcfundassoc.com](mailto:treick@hrcfundassoc.com).

### **Books & Records**

HRC Fund Associates maintains its hard-copy books and records and electronic records primarily at its Main Office and back-up books and records at alternate locations. If records are lost as the result of a business disruption or for any other reason, HRC Fund Associates has the means to physically recover data from both physical and electronic back-up locations.

### **Vendors and Counterparties**

HRC Fund Associates’ BCP may need to rely upon the recovery and restoration of services provided by various critical business constituents at both its primary and alternate business locations. HRC Fund Associates has considered the extent to which the Firm may be able to depend upon these business relationships during an SBD as a part of its decision to do business with the constituents. Where possible the Firm has engaged and/or vetted alternate arrangements in order to avoid business disruptions in the case of a business constituent not being able to provide needed goods or services in an emergency.

### **Disclosure**

HRC Fund Associates’ BCP is designed to address the continued operation of the Firm in the event of an emergency situation or SBD. However, all risks of business interruption cannot be eliminated and HRC Fund Associates cannot guarantee that systems will always be available or recoverable following an SBD. Furthermore, HRC Fund Associates has no control over and must rely upon the disaster recovery plans of its various critical business constituents and vendors. In the event that material changes are made to the BCP, HRC Fund Associates will update this Summary and provide appropriate notice.

The information contained in this disclosure is provided by HRC Fund Associates for informational purposes only.