

# **Trent Capital Management, Inc**

## **Business Continuity Plan**

### **Client Disclosure Statement**

Trent Capital Management, Inc. has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our Business Continuity Plan.

*Contacting Us* – If after a significant business disruption you cannot contact us as you usually do by phone at 336/282-9302, you should contact us via email at [dlabiak@trentcapital.com](mailto:dlabiak@trentcapital.com). If you cannot access us through either of those means, you should contact the brokerage firms that are the custodians of your brokerage accounts directly for instructions on how you may access investment information, invest additional funds, and/or provide you with prompt access to funds and securities. Custodian numbers are as follows:

DB Alex Brown	800/553-6018	Russell Capital Management	800/568-5225
Smith Barney	800/354-9559	JP Morgan	617/654-2260
LPL Financial	859/268-4425	Merrill Lynch	859/231-5239

*Our Business Continuity Plan* – We plan 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 the Firm’s books and records, and allowing our clients to transact business. In short, our Business Continuity Plan is designed to permit our Firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our Business Continuity Plan addresses: data back-up and recovery; all mission critical systems; financial and operational assessments; alternative communications with clients, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank, and counter-party impact; regulatory reporting; and assuring our clients prompt access to their investments if we are unable to continue our business.

*Varying Disruptions* – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within 24 hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within 72 hours. In either situation, we plan to continue in business, and notify you through our customer emergency number how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers’ prompt interface with the respective companies and entities that have provided investment products to you, through us.

*For more information* – If you have questions about our business continuity planning, you can contact us at 336/282-9302. *This plan is subject to modification, and clients may alternatively obtain updated summaries by requesting a written copy by mail.*