

# STONE RUN CAPITAL, LLC

## Business Continuity Planning

March 2019

Stone Run Capital, LLC (SRC) has developed a Business Continuity Plan that details our strategy for responding to events significantly disruptive to our business. Since the timing and impact of disasters and disruptions is unpredictable, we will be flexible in responding to actual events as they occur. This document highlights our strategy and our full plan is available by request.

**Contacting Us** – Stone Run Capital’s emergency contacts are Donna Martineau and Jeff Hoerle. If after a significant business disruption, you cannot contact us at 646-701-6087 or by email at [dmartineau@stoneruncapital.com](mailto:dmartineau@stoneruncapital.com), please call our alternative numbers 917-862-1196 or 914-450-4292, or go to our website at [www.stoneruncapital.com](http://www.stoneruncapital.com).

**Business Continuity Plan** – Our policy is to respond to a significant business disruption by safeguarding employees’ lives and firm property, insuring all customer records and accounts are secure, making a financial and operational assessment, and quickly recovering and resuming operations. Our business continuity plan is designed to permit Stone Run Capital to resume operations as quickly as possible, given the scope and severity of the business disruption. Jeff Hoerle, principal of SRC, is responsible for approving the plan and for conducting the required annual review.

Our plan addresses: assuring our customers’ prompt access to their funds and securities if we are unable to continue our business; data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank, and counter-party impact; and regulatory reporting.

SRC works with our custodian and prime broker, Pershing Advisor Solutions, LLC, a BNY Mellon Company in planning for any potential business disruption issues. Our main contacts at Pershing are: Client Service Associate - Nicholas Bilyk, 866-687-0488, [pas@pershing.com](mailto:pas@pershing.com); Account Manager - Raschad Jones, 201-761-7080, [rjones@pershing.com](mailto:rjones@pershing.com); Relationship Manager – Jennifer Gadd, 201-413-4529, [jcgadd@pershing.com](mailto:jcgadd@pershing.com).

**Varying Disruptions** – Significant business disruptions can vary in their scale. Disruption could impact only Stone Run Capital, the building housing our company, 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 impacting only Stone Run Capital, or a building housing our firm, we will transfer our operations to a local site if needed, and expect to recover and resume business within 4-8 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 24-48 hours. In either situation, we plan to continue in business via electronic means, and will notify you through our website [www.stoneruncapital.com](http://www.stoneruncapital.com). We will leave our customer emergency number on our voicemail message at 646-701-6087.

**For Further Information** – If you have questions about our business continuity planning, you can contact us at 646-701-6087 or [dmartineau@stoneruncapital.com](mailto:dmartineau@stoneruncapital.com).

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