

## **SCHEDULE B**

### **BUSINESS CONTINUITY PLAN SUMMARY**

Shelter Rock Capital Group LLC (the “Firm”) has developed a Business Continuity Plan detailing how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is 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 calling (646) 768-2051 or emailing [walter.stackler@shelterrock.com](mailto:walter.stackler@shelterrock.com), you should visit our website at: [www.shelterrock.com](http://www.shelterrock.com).

**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 our books and records, and allowing our Firm to transact business. In short, the Firm’s 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/investors, employees, and regulators; alternate physical location of employees; critical suppliers, contractors, and bank impact; and regulatory reporting.

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 the loss or destruction of computer hardware equipment maintained at our Main Office, the Firm would engage a service provider to rebuild the local computer hardware and restore the Firm’s most recent backups from its offsite backup provider. If the local computer hardware cannot be rebuilt the files can be restored to an external drive, a web server, or a laptop. If such event were to occur to the Firm’s Main Office, the Associated Persons located at such location would be relocated to temporary space that has access to the Internet, including either temporary office space or their homes.

In the event of the loss or destruction of our Firm’s server located in the Firm’s Main Office, our Firm would connect to their backup servers located offsite and resume business as usual within one business day.

**Varying Disruptions** – Significant business disruptions can vary in their scope, such as only affecting our Firm’s Main Office, the district where our Firm’s Main Office is located, the city where our Firm’s 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.

In a disruption to only our Firm or a building housing our Firm, we will transfer our operations to an unaffected site, or to an alternate available local site where our Firm would expect to recover and resume business as soon as its affected communication systems are restored, which we expect would occur within 24 hours. In a disruption affecting a district, city, or region where our Firm is located, we will transfer our operations to an available alternate site, and recover and resume business as soon as our affected communication systems are restored, which we expect to occur within two business days. 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:

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