

# Business Continuity and Contingency Plan

GK Capital Management Limited ("GK Capital"), a member of the GraceKennedy Financial Group, recognizes that as a provider of financial services, our responsibility to our clients is of paramount importance. We also recognize that disruptions that could impact our service delivery to you our valued clients and stakeholders can occur at any time.

Consequently, GK Capital dedicates significant resources to our Business Continuity and Contingency Plan ("BCCP") and Disaster Recovery Programme ("DRP") to provide policy and guidance so that we can respond effectively to a disruption and restore service to you in the shortest possible time.

## **GK Capital's BCCP addresses the following:**

1. Advanced arrangements and procedures that will enable the company to prepare for those disruptions that allow advance warning as well as to respond quickly to other instantaneous disruptions, in order to ensure continuous performance of critical business functions.
2. Protection and Maintenance of our Information Technology and Systems to include data backup and recovery of all mission critical systems.
3. Protect essential facilities, equipment, vital records, and other assets.
4. Alternative communication with our clients, employees, regulators, and other stakeholders.
5. The availability of our advisors for client-related needs.
6. Regulatory reporting and assuring clients of prompt access to their funds and securities if we are unable to continue business due to significant business disruption.
7. Provide support to employees during an event so that they will be available to work and assist in business restoration if required.
8. Swift business recovery and resumption of full service to the public in a timely manner.

Since natural disasters and disruptions are unpredictable, things can still go wrong despite our best efforts. As such, GK Capital is committed to continuous improvement of its BCCP and DRP to mitigate these risks.

The information contained in this disclosure is provided by GK Capital for information purposes only. Accordingly, nothing contained in this document shall be construed to amend, supplement or otherwise modify any of the terms and conditions set forth in any agreement between you and GK Capital.