

## **KIMELMAN & BAIRD, LLC**

### DISCLOSURE OF BUSINESS CONTINUITY PLAN

May 11, 2018

Kimelman & Baird has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and the impact of disaster and disruption are unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing this information on our business continuity plan.

If after a significant business disruption you cannot contact us as you usually do at 212-686-0021, you should call our alternative number 845-692-6061 or contact us via e-mail at [info@kimelmanbaird.com](mailto:info@kimelmanbaird.com).

If you cannot access us through either of those means, you should contact our clearing firms:

National Financial Services  
Tel. 877-262-5950  
800-801-9942

Fidelity Brokerage Services  
Tel. 800-343-3548

We have contacted the clearing firm with regard to the services that will be available to our customers at the time of a Significant Business Disruption. In the event, our clearing firm shall provide services such as access to funds and securities, order entry, and cash and security transfers.

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 customers 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 customers, employees, and regulators; alternate physical location of employees; critical bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

**Varying Disruptions** – Significant business disruptions can vary in their scope, such as at our firm only, 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 three to four 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 the same business day. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and will notify you on how to contact us, which will be through our customer emergency number **212-686-0021**. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

**For more information** – If you have any questions about our business continuity planning, you may contact us at:

212-686-0021  
[info@kimelmanbaird.com](mailto:info@kimelmanbaird.com)