



10 East 53rd St, 18th Floor, NY, NY 10022

# BUSINESS CONTINUITY PLAN DISCLOSURE STATEMENT

## 1. Introduction

PureStream, LLC (“PSL” or the “Firm”) has developed a Business Continuity Plan (“BCP”) for how the Firm will respond to events that significantly disrupt its business. Since the timing and impact of disasters and disruptions is unpredictable, the Firm will have to be flexible in responding to actual events as they occur. With that in mind, the Firm is providing you with this information on the Firm’s BCP.

## 2. Contacting PSL

If, after a significant business disruption (“SBD”), you cannot contact PSL as you usually do, you should email or call Armando Diaz, the Firm’s Chief Executive Officer, at (201) 694-6421, Sean Hoover, the Firm’s Chief Operating Officer, at (914) 325-6098, or Yogesh Wagle, the Firm’s Chief Technology Officer, at (347) 342-7098.

## 3. PSL’s BCP

PSL plans to quickly recover and resume business operations after an SBD, and respond by safeguarding the Firm’s employees and property, making financial and operational assessments, protecting the Firm’s books and records, and allowing the Firm’s customers to continue transacting business with the Firm. In short, the Firm’s BCP is designed to permit the Firm to resume operations as quickly as possible, given the scope and severity of the SBD.

PSL’s BCP addresses: (i) data backup and recovery; (ii) all mission critical systems; (iii) financial and operational assessments; (iv) alternative communications with customers, employees, and regulators; (v) alternate physical location of employees; (vi) critical supplier, contractor, bank, and counterparty impact; and (vii) regulatory reporting.

## 4. Varying Disruptions

SBDs can vary in their scope, such as only to PSL, a single building housing a Firm office, the business district where an office of the Firm is located, the city where a Firm office is located, or an entire region in which a Firm office is located. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only the Firm or a building housing the Firm, we will transfer our operations to a local site or the Firm’s employees will work remotely from their residences when needed, and expect to recover and resume business within twenty-four (24) hours. In a disruption affecting the Firm’s business district, city, or region, we will transfer our operations to a site outside of the affected area or the Firm’s employees will work remotely from their residences or transfer responsibilities, temporarily, to



10 East 53rd St, 18th Floor, NY, NY 10022

employees outside of the affected region, and seek to recover and resume business as quickly as possible. In either situation, the Firm plans to continue business operations, and notify you through our website ([www.PureStream.Tech](http://www.PureStream.Tech)) or our customer emergency number (201-694-6421) of how to contact us.

## 5. For More Information

If you have questions about PSL's BCP, you can direct them to Armando Diaz at (201) 694-6421 or [armando@purestream.tech](mailto:armando@purestream.tech).