

## **Hamilton Clark Sustainable Capital, Inc. Business Continuity Plan Client Disclosure Statement**

Hamilton Clark Sustainable Capital, Inc. has developed a Business Continuity Plan on 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 at (202) 461-2252 or (703) 405-0881, e-mail at [john.mckenna@hamiltonclark.com](mailto:john.mckenna@hamiltonclark.com) or [ross.crawford@hamiltonclark.com](mailto:ross.crawford@hamiltonclark.com) you should call our alternative number (713) 203-1902 or go to our web site at [www.hamiltonclark.com](http://www.hamiltonclark.com). If you cannot access us through any of those means, you should contact John McKenna at home at (202) 686-6994, or Ross Crawford at home at (713) 522-8875.

*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 the firm's books and records, and allowing our clients 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 backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with clients, employees, and regulators; alternate physical location of employees; critical suppliers, contractors, bank and counter-party impact; regulatory reporting; and assuring our clients prompt access to our staff.

*Varying Disruptions* – Significant business disruptions can vary in their scope, such as only our firm, 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 our other site when needed and expect to recover and resume business within two hours. In a disruption affecting our business district, city, or region, we will transfer our operations to our other site which is located outside of the affected area, and recover and resume business within one business day. In either situation, we plan to continue in business, and notify you through our alternative phone number at (703) 405-0881, and notify you through our web site at [www.hamiltonclark.com](http://www.hamiltonclark.com) how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our clients prompt access to another investment bank that will be recommended.

*For more information* – If you have questions about our business continuity planning, you can contact us at (202) 461-2252.

*This plan is subject to modification, an updated summary will be promptly posted on our web site and clients may alternatively obtain updated summaries by requesting a written copy by mail.*

*Last Updated: June 2, 2020*