

May 24, 2022

# Business Continuity Plan Summary

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DCF, LLC ("DCF") 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 are 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 (423) 266-4000, you should call our alternative numbers:

### **Tom Decosimo, Managing Principal**

Phone: (423) 991-3680

Email: [tomdecosimo@dcf-llc.com](mailto:tomdecosimo@dcf-llc.com)

### **Jay Hildebrand**

Phone: (423) 653-4916

Email: [jayhildebrand@dcf-llc.com](mailto:jayhildebrand@dcf-llc.com)

## Our Business Continuity Plan

DCF's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and personal property, as well as DCF's property, making a financial and operational assessment, recovering and resuming operations as quickly as possible, protecting all of the DCF's books and records, and promptly notifying all clients. Because we do not hold any client funds, securities or assets of any nature, an SBD should not affect we are not required to maintain a plan to ensure them access to these assets.

## Our Business Continuity Plan Addresses:

Data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, banks, and regulators; alternate physical location of employees; regulatory reporting; and assuring our customers prompt access to our team.

## Varying Disruptions

Significant business disruptions can vary in their scope, such as only our firm, a single building or unit housing our firm, the business district where our firm is located, the city where we are located, or the whole region, state, country, or world. Within each of these areas, the severity of the disruption can also vary from minimal to severe. When applicable, we will transfer our operations to remote locations and expect to recover and resume business without delay. In any event, we plan to continue in business and inform you as to how to contact us alternatively if necessary through our website. If the significant business disruption is so severe that it prevents us from remaining in business, we will notify you as quickly as practical.

## For More Information



INVESTMENT  
BANKING  
AFFILIATES

If you have questions about our business continuity planning or would like a copy of our business continuity plan, please feel free to contact us at (423) 267-3776.