

Kipling Jones & Co., Ltd. Business Continuity Plan Client Disclosure Statement

Kipling Jones & Co., Ltd. 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 must 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, you may call either Robbi Jones or Nicholas Bryant directly.

Headquarters	President	Operations
Kipling Jones & Co., LTD 440 Louisiana Street, Suite 900 Houston, Texas 77002 Phone: (713) 353-4688 Website: www.kiplingjones.com	Robbi Jones 440 Louisiana Street, Suite 900 Houston, Texas 77002 Phone: (713) 724-0554 Email: rjones@kiplingjones.com	Nicholas Bryant 440 Louisiana Street, Suite 900 Houston, Texas 77002 Phone: (251) 214-3212 Email: nick.bryant@kiplingjones.com

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 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 backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, 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. While every emergency poses unique problems based on external factors, such as time of day and the severity of the disruption, our objective is to restore its our operations and be able to complete existing transactions and accept new transactions and payments within 24 hours. Your orders and requests for funds and securities could be delayed during this period.

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 a local site when needed and expect to recover and resume business within 1 business day. 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 2 business days. 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 questions about our business continuity planning, you can contact us at 713-353-4688 This plan is subject to modification, an updated summary will be promptly posted on our Web site and customers may alternatively obtain updated summaries by requesting a written copy by mail.

Last Updated: March 6th, 2017