

# RIVER AND MERCANTILE LLC

## Business Continuity Plan Client Disclosure Statement

### RESUMPTION OF BUSINESS OPERATIONS FOLLOWING BUSINESS DISRUPTION

River and Mercantile LLC has developed a Business Continuity Plan (BCP) detailing how we will respond to events that significantly disrupt our business. As the timing and impact of disasters and disruptions is unpredictable, we will be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our BCP.

**Action Plan:** The firm plans to quickly recover and resume business operations after a significant business disruption (SBD) 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, the BCP is designed to permit us to resume operations as quickly as possible, given the scope and severity of the SBD.

The BCP 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.

**Significant Business Disruptions:** The BCP takes into account internal and external SBDs. Internal SBDs affect only the firm's ability to communicate and do business, such as a fire or loss of electrical power in an office or building. External SBDs can include a terrorist attack, natural disaster, or another event that causes a wide-scale, regional disruption in essential services, and prevents the operation of the securities markets or a number of firms.

**Internal SBDs:** In the event of a disruption in the firm's business operations due to an internal SBD, the firm will attempt to continue to conduct business as usual by utilizing alternative communication methods (if available), such as the Internet or cell phones, or by moving its operations to an alternative location. If personnel or operations must be moved to an alternate location, the firm anticipates that it will resume regular operations as soon as personnel can access the alternate site.

**External SBDs:** In the event of a disruption in the firm's business operations due to an external SBD, the firm will attempt to continue to conduct business as usual by moving its operations to an alternative location outside the affected area, or by providing customers with alternative communication arrangements, as indicated below, to conduct business or to access their funds and securities. River and Mercantile LLC will attempt to resume business and keep its customers informed regarding relevant events to the best of its ability based on the circumstances.

In all cases, River and Mercantile LLC will resume normal business operations as soon as it is able to do so, based on the type and the extent of the disrupting event. If the SBD is so severe that it prevents us from remaining in business, we will ensure our customers' prompt access to their funds and securities.

**Communications:** In the event that you are unable to reach us at our main number, please proceed as follows:

- Contact the firm at the following alternate telephone number: Ryan McGlothlin 508-768-8054 or our UK headquarters on +44 203 327 5100
- Access the firm's website at <https://riverandmercantile.us>
- Contact the product sponsor/custodian directly at the number listed on your most recent statement

**Contact information:** Any questions regarding River and Mercantile LLC's BCP should be addressed to: Ryan McGlothlin, Chief Compliance Officer, 130 Turner St., Waltham MA 02453 or via telephone at 781-373-6900.