

Business Continuity & Disaster Recovery Plan

Newbury, Piret & Company, Inc. (“NPC”) has developed a Business Continuity and Disaster Recovery Plan (the “Plan”) describing how we will respond to unforeseen significant business disruptions. Since the impact and timing of such events is unpredictable, we will be flexible in our efforts to mitigate any adverse effects. It is our intention to recover promptly and to resume normal business operations as quickly as possible.

To Contact Us

If after a significant business disruption you are not able to contact us as you usually do at (617) 367-7300, please attempt to contact us via email. Email addresses are provided on our website: www.newburypiret.com. If these means fail, call (617) 594-8600 or (617) 594-0595.

Scope of Business Continuity & Disaster Recovery Plan

Our plan addresses data back-up and recovery; all mission critical systems; financial and operational assessments; communications between NPC and its customers and employees; an alternate physical location of employees; critical business constituents and banks; and regulatory reporting and any communications with regulators.

Anticipated Response to Events of Varying Severity

Firm-only event – all employees will meet to discuss any changes necessary in order to continue business operations as normal. Discussions and responsive actions will be led by the designated NPC primary and secondary emergency contacts.

Disruption to building, district, city, or region – in the event that employees are not able to conduct business as usual from NPC’s office in Waltham, employees will work from an alternate location specified in the Plan or from their homes, as possible.

Disclosure

While we cannot eliminate all risks or guarantee that all systems will always be available or recoverable after any significant business disruption, we have developed procedures to ensure that we are able to return to normal business operations as soon as possible.