



## **Business Continuity Planning 4370(e) Disclosure July 2023**

Equus Financial Consulting LLC 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 information on our business continuity plan.

**Contacting Us** – If after a significant business disruption you cannot contact us as you usually do at the New Canaan, CT office for Mr. Darryl Glatthorn 203-222-7400 or his alternative number 203-858-7172 or [dglatthorn@equusfc.com](mailto:dglatthorn@equusfc.com) or also in New Canaan, CT for Mr. Joseph Sindelar 203-658-0140 or his alternative number 917-855-4642 or [jsindelar@crossbaycapital.com](mailto:jsindelar@crossbaycapital.com). For our Purchase, NY office for Mr. Timothy Ivey 914-417-6605 or his alternative number 203-969-6694 or [tivey@equusfc.com](mailto:tivey@equusfc.com). For Marblehead, MA office Mr. Tom Dellacamera 781-990-3024 or 781-884-5742 or [tom@libertylanecap.com](mailto:tom@libertylanecap.com). For our Rye, NY office contact Mr. Sean Plummer at 914-468-7013 or [splummer@haystackcp.com](mailto:splummer@haystackcp.com). For our Charlotte, NC office contact Mr. Phil Davidson at 704-246-8623 or 617-335-6225 or [phil@wethervanecap.com](mailto:phil@wethervanecap.com). We do not have a clearing firm. Our Business Continuity Plan is subject to modification and will be updated annually and when needed. If a client/investor would like to receive a copy of our plan please send a written request to Equus Financial Consulting, LLC Attn: Compliance Department, 78 Pine St., New Canaan, CT 06840.

**Our Business Continuity Plan** – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our associated persons 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 clients/investors, associated persons, and regulators; alternate physical locations ; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our clients/investors prompt access to us to continue our business relationship with them.

While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption the objective is to restore its operations and be able to complete existing transactions and accept new transactions within one to two days.

**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, the whole region, the country or in the case of COVID-19 a worldwide crisis. 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 one to two 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 two to three days. In either situation, we plan to continue in business, as quickly as possible and transfer operations to an alternative location.

For more information – If you have questions about our business continuity planning or would like to receive a copy you can contact us at Equus Financial Consulting, LLC, 78 Pine St., New Canaan, CT 06840.