

Business Continuity Planning

Elm Capital has developed a Business Continuity Plan on how it will respond to events that significantly disrupt its business. Since the timing and impact of disasters and disruptions is unpredictable, Elm Capital will have to be flexible in responding to actual events as they occur and herewith provide information on its business continuity plan.

(i) Business Continuity Plan – Elm Capital plans to quickly recover and resume business operations after a significant business disruption and respond by safeguarding its employees and property, making a financial and operational assessment and protecting the firm’s books and records. In short, its business continuity plan is designed to permit the firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption. Elm Capital’s 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; and regulatory reporting.

(ii) Varying Disruptions – Significant business disruptions can vary in their scope, such as only a firm, a single building housing a firm, the business district where a firm is located, the city where a firm is 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 Elm Capital or a building housing Elm Capital, the firm will transfer its operations to a local site when needed. In a disruption affecting Elm Capital’s business district, city, or region, the firm will transfer our operations to a site outside of the affected area. If the significant business disruption is so severe that it prevents Elm Capital from remaining in business, its clients will be notified promptly.

Contact

If you have questions about our business continuity planning, you can contact us by phone +44 (0) 207 901 8940 or email info@elmcapital.com.