

## **Kirwan Capital LLC - Business Continuity Plan Notice**

Kirwan Capital, LLC is committed to providing our clients with the highest level of advice, service, and information regarding the assets they have entrusted to us. As part of this commitment, we have developed a Business Continuity Plan to address 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 this information on our Business Continuity Plan.

**Contacting Us** – If after a significant business disruption you cannot contact us at (402) 212-0519 or [pjkirwan.kcm@gmail.com](mailto:pjkirwan.kcm@gmail.com), you should go to our website at [www.kirwancapital.com](http://www.kirwancapital.com). If you cannot access us through either of those means, you should contact the custodian holding your account as noted on your account activity statement.

**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 records, and enabling our clients to transact business as quickly as possible. 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 back up and recovery, critical systems, financial and operational assessments, alternative communications with clients, employees, and regulators, alternate physical location of operations, critical supplier, contractor, bank and counter-party impact, regulatory reporting, and assuring our clients' prompt access to their funds and securities if we are unable to continue our business.

We rely on the custodians who hold the accounts we manage to initiate their own disaster recovery plans in the event of a significant business disruption to their business, to ensure the data and systems we use are safeguarded and recovered, respectively. Your transactions and requests for funds and securities could be delayed during a period directly after such a business disruption to one of these custodians.

**Varying Disruptions** – Significant business disruptions can vary in their scope, such as a single building housing our firm, the area 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 the building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within several hours. In a disruption affecting our business area, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business as quickly as possible. In either situation, we plan to continue business, transfer operations to another location if necessary, and notify you through our website [www.kirwancapital.com](http://www.kirwancapital.com) or via regular mail.

If the business disruption is so severe that it prevents us from remaining in business, we will assure our clients' prompt access to their funds and securities. If you have an account through our custodian, you may contact them directly as noted on your account activity statement.

Our Business Continuity Plan is reviewed annually to ensure that it accounts for business and regulatory changes, technology, operations, structure, or location. The plan is subject to modification and upgrading by our firm.

**For more information** – If you have questions about our Business Continuity Plan, you can contact us by writing to Kirwan Capital, LLC, 13000 County Rd. 348, St. Joseph, MO 64505.