

Business Continuity Plan – Summary Disclosure

Cresta Westhall LLP has created a Business Continuity Plan (“BCP”) on how our firm will mitigate the impact from unforeseen events that significantly disrupt our business. Our BCP is designed to allow us to continue to maintain the level of service we provide in our business activities.

Significant Business Disruptions (“SBD”s): Cresta Westhall LLP’s plan anticipates two kinds of SBDs, internal and external. Internal SBDs affect only our ability to communicate and do business, such as a fire or loss electrical power in the office or building.

In the event that one of our firm’s offices must be evacuated, we will move critical members of its staff from affected offices to the Company’s unaffected office location.

External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a natural disaster, or another event that causes a wide-scale, regional disruption in essential services. Our firm’s response to an external SBD will rely more heavily on other organizations and systems, especially on the capabilities of the product sponsors or placement issuers, federal emergency authorities, local officials and utility companies.

In addition to our own electronic records, Cresta Westhall backs up its electronic records daily using external providers.

Contacting Us

Cresta Westhall currently communicates with our customers using the telephone, email, postal mail and in person. In the event of an SBD, we will endeavor to use the closest means of communication open to us.

Should you have any immediate queries regarding Cresta Westhall’s BCP, please contact our Chief Compliance Officer, Doug Fulton, at +44 20 7628 8645.

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