



Winslow, Evans & Crocker, Inc.'s Business Continuity Plan Disclosure Statement

Winslow, Evans & Crocker, Inc. ("Winslow") 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 this information on our business continuity plan.

Winslow maintains our home office and 1 branch office in New England. The home office is located at 175 Federal Street, Boston, MA 02110. In the event the Boston office suffered a catastrophic failure of all telecommunications and market data we would immediately deploy emergency operations through one of our Offices of Supervisory Jurisdiction located at 343 Russett Rd, Brookline, MA 02467 and 14 Yacht Club Rd, East Falmouth, MA 02536.

Contacting Us – We expect that in case of significant business disruption, we will be in the position to reroute incoming calls to one of our Business Recovery locations. If after a significant business disruption you cannot contact us as you usually do at 617-896-3500 you should call our alternative number 617.469.2700 & 617.469.2800 or go to our web site at www.winslowevanscrocker.com. If you cannot access us through any of those means, you should contact our clearing firm, Pershing, LLC, at 201-413-3635 for instructions on how it may provide prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions.

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 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 customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business. At the home office Winslow maintains three redundant systems to get to market and maintains connectivity with our clearing firm: via redundant high speed Internet lines (a primary 100Mbps land line and a backup 6Mbps wireless connection) and via a cellular connection in case of a total power loss.

Telecommunications are via a digital phone system operating from redundant T-1 PRI lines with short-term power back up. The firm also maintains a separate Internet based phone system for trade-desk and operations personnel.

Our clearing firm, Pershing, LLC, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept



Winslow, Evans & Crocker, Inc.SM

new transactions and payments in less than one hour. Your orders and requests for funds and securities could be delayed during this period.

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, 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 a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within a few hours time. 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 in less than a day. In either situation, we plan to continue business, transfer operations to our clearing firm if necessary, and notify you through our web site www.winslowevanscrocker.com or our customer emergency number, 508-495-5595, or our Third Party IT provider: Seamless IT (800-803-5003) regarding how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers' prompt access to their funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at 617-896-3500 or www.winslowevanscrocker.com.