

# FARKAS CAPITAL LLC

August, 2024

## BUSINESS CONTINUITY DISCLOSURE STATEMENT

Farkas Capital LLC (the “Firm”) is committed to protecting the interests of its clients at all times and providing our clients with outstanding service. This commitment makes it vital that we have in place effective recovery and resumption plans that we can implement in the event of a Significant Business Disruption (“SBD”). The Firm has developed and implemented a Business Continuity Plan (“BCP”) in an effort to mitigate the effects related to unforeseen business interruptions. 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 BCP.

The BCP addresses all critical business processes – including providing clients with the ability to buy and/or sell and providing access to securities and funds – and the effect of interruptions that are either localized or regional in scope regardless of the cause. The BCP is reviewed and tested annually and has been approved by senior management.

The Firm plans to quickly recover and resume business operations after a SBD and respond by safeguarding our employees and property, making a financial and operational assessment, and protecting the firm’s books and records. The Firm’s business is not transactional in nature and, therefore, a SBD will have minimal impact on any customer or issuer transactions as there are no dependencies on the Firm for such transactions to occur.

Our business BCP is designed to permit our Firm to resume operations as quickly as possible, given the scope and severity of significant business disruption. Our BCP addresses: data backup and recovery; all mission critical systems; financial and operational assessment; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; and regulatory reporting; and assuring our customers settlement of pending transactions – all pursuant to FINRA Rule 4370. Again, many of these categories will not be applicable to the Firm as the Firm’s business is not transactional (day-to-day) in nature and, therefore, a SBD will have minimal impact on any customer or issuer transactions as there are no dependencies on the Firm for such transactions to occur.

SBDs can vary in their scope, such as only 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, we will transfer our operations to the residences of our associated persons when needed, though we expect to recover and resume business as soon as possible. In a disruption affecting our business district, city, or region, we plan to continue to remain in communication through mobile capabilities of our associated persons or their respective landline capabilities.