

## **BCP Disclosure Statement for Empirical Research Partners LLC**

Empirical Research Partners LLC 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.

**Contacting Us** – If, after a significant business disruption you cannot contact us as you usually do at (212) 803-8000, you should go to our website (<http://www.empirical-research.com>) or call our alternative number, 973-580-0769, for instructions about how to contact us. Empirical Research Partners LLC does not accept or maintain custody of customers' funds or securities nor does it open customer accounts, hold customer accounts, send trade confirms or generate account statements. Empirical Research Partners LLC has no impact on its clients' ability to access funds or securities.

**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 clients 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 back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with clients, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our clients prompt access to their funds if we are unable to continue our business.

**Varying Disruptions** – Significant business disruptions can vary in scope, and as such may affect 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 one business day. 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 within five business days. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site (<http://www.empirical-research.com>) our main clients contact number, (212) 803-8000, or our alternative contact number, 973-580-0769, about how to contact us. If the business disruption is so severe that it prevents us from remaining in business, we will assure that our clients will have prompt access to their funds.

**For more information** – If you have questions about our business continuity planning, you can contact us by calling (212) 803-8000 or via e-mail at [information@empirical-research.com](mailto:information@empirical-research.com).