



## **LIGHTHOUSE CAPITAL GROUP'S BUSINESS CONTINUITY PLAN – FINRA Rule 4730(e)**

**Lighthouse Capital Group has developed a Business Continuity Plan detailing how we will respond to events that could cause significant disruption to our business. Since the timing and impact of disasters and disruptions are unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with key information in our business continuity plan that outlines how we intend to respond to significant potential disruptions to our business.**

### **Alternate Contact Information**

If, after a significant business disruption, you cannot contact us as you usually would at our main office, you should call one of our alternative numbers: (626) 564-1031, (877) 579-1031, or (657) 522-1031. Susana K. Dryden and Mary Lynn Deagon have been designated as emergency contact persons.

### **Our Business Continuity Plan and Recovery Strategies**

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 LCG'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, as the scope and severity of the significant business disruption will reasonably permit.

Our Business Continuity Plan addresses data back-up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; an alternate physical location for employees; critical suppliers, contractors, bank and counter-party impacts; and regulatory reporting.

### **Disruptions of Varied Scope and Degree**

Potential business disruptions vary widely in their scope. A disruption may affect only the office suite and/or building in which LCG is headquartered and operates; the business district in which LCG's headquarters is located; the city in which we are headquartered; or the entire region. Within each of these areas, the severity of the disruption could also vary from minimal to severe.

In the event of a disruption limited to only Lighthouse Capital Group's office suite or the building housing our suite, we will transfer our operations to a local site, as needed, and would expect to recover and resume business within 48 hours. Were a disruption to affect our entire business district, city, or region, we will transfer our operations to a site outside of the affected area and would expect to recover and resume business within 72 hours.

If you have any questions about your personal or account information or about Lighthouse Capital Group's privacy policies and practices, please feel free to contact us at (626) 564-1031, by email at [compliance@lighthousecap.com](mailto:compliance@lighthousecap.com) or by mail to: Compliance Dept., Lighthouse Capital Group, LLC, 1055 E. Colorado Blvd., Suite 310, Pasadena, CA 91106.