

# **Sarna Finance LLC**

## **Business Continuity Plan Summary**

### **Overview**

Sarna Finance LLC (“Sarna”) maintains a Business Continuity Plan (“BCP”) that will guide our response in the event of a significant disruption to our business. Since the impact and nature of any disruption is uniquely unpredictable, our BCP provides a flexible framework for us to respond to any event as it occurs. This BCP document outlines our approach to responding various potential disruption levels which we envision. Although Sarna has been thoughtful in developing response scenarios that address several different disruption scenarios, we understand that no amount of business continuity planning can completely eliminate our disruption risks.

### **Business Continuity Plan Design**

Sarna’s BCP is designed to enable an immediate response to varying levels of business disruptions and details how we plan to recover critical business operations if a disruption occurs. The BCP focuses on safeguarding employees’ lives, protecting customer assets, the firm’s books and records and other firm property while ensuring customers can reach us. Accordingly, Sarna’s BCP is focused on addressing potential risks that could prevent the firm from providing execution services and, if necessary, to implement any action plan for reestablishing such services.

### **Varying Disruptions**

Significant business disruptions can vary in their scope, and may impact only a single building, business district or region where some of our critical operations are located. For either situation, we plan to recover and resume business operations as quickly as possible and will maintain communication with you regarding the existence and impact of the disruption and inform you when the platform returns to normal operations. Sarna’s cloud-based highly available setup allows us to continue our operations with minimal disruption if Sarna’s place of business is unavailable due to either a firm-only, business district or wider disruption.

### **Alternative Communications**

If you are unable to access the Sarna platform due to an outage or other issue, you are encouraged to obtain additional information through the following notification methods:

- 1) If Sarna is aware of an issue, a banner message will be displayed on our platform that will provide you with information at the time of the outage and will be updated as new information becomes available.
- 2) If there is a sustained outage, Sarna will make a best-efforts attempt to email you. The message will provide you with an update regarding the outage and instructions for how to access your account.
- 3) You can also email us at [info@sarnafinance.com](mailto:info@sarnafinance.com) and we will respond as soon as possible.