

## **Business Continuity Customer Disclosure Statement**

### **Aqueduct Capital Group, LLC**

Aqueduct plans to quickly recover and resume business operations after a significant business disruption (SBD) 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 (BCP) is designed to permit us to resume operations as quickly as possible, given the scope and severity of the SBD.

The BCP 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 and regulatory reporting.

The fund manager or issuer maintains all records related to your investments and account holdings and backs up important records in accordance with their business continuity plan. For more information on their contingency plan, please contact the manager or issuer directly at the telephone number provided on your statements or offering documents or through their website.

**Significant Business Disruptions:** Aqueduct's plan considers two kinds of Significant Business Disruptions: internal and external. Internal SBDs affect only our ability to communicate and do business, such as a fire or loss of electrical power in the office or building.

External SBDs prevent the operation of the securities markets for a number of firms, such as a terrorist attack, a natural disaster, or another event that causes a wide-scale, regional disruption in essential services.

**Internal SBDs:** In the event of a disruption in our business operations due to an internal SBD, we will attempt to continue to conduct business as usual by utilizing alternative communication methods (if available), such as the Internet, cellular telephones, etc., or by moving our operations to an alternative location.

If personnel or operations must be moved to an alternate location, we anticipate that we will resume regular operations within four hours.

**External SBDs:** In the event of a disruption in our business operations due to an external SBD, we will attempt to continue to conduct business as usual by moving our operations to an alternative location outside the effected area, if possible, or by providing customers with alternative communication arrangements, as indicated below, to conduct business or to access their funds and securities.

We will attempt to resume business within (24-48 hours) and to keep our customers informed regarding relevant events to the best of its ability based on the circumstances.

In all cases, we will resume normal business operations as soon as we are able to do so, based on the type and the extent of the disrupting event.

If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers prompt access to relevant information.

**Communications:** In the event you are unable to reach us at our main number, please proceed as follows:

1. Contact us at the following alternate telephone number: Aqueduct Capital Group, New York Office: 212.624.0107
2. Access our website at [www.aqueductcap.com](http://www.aqueductcap.com).
3. Contact the fund managers directly at the number listed on your most recent fund documents.
4. Contact the private placement issuers directly at the number listed on applicable offering documents.
5. Contact the FINRA's District office at the following telephone number for more information on our status and additional instructions: 404.760.8809

**Contact information:** Any questions regarding our Business Continuity Plan should be addressed to: Blake Wilcox, 2820 Selwyn Avenue, Suite 550, Charlotte, NC 28209.