

EFG Capital International Corp.'s Business Continuity Planning

Pursuant to FINRA Rule 4370, EFG Capital International Corp. (“EFG”) has developed a Business Continuity Plan (“BCP”) 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 305-482-8000, you can contact your Client Relationship Officer (“CRO”) at the direct extension which will be forwarded to an alternative location or email our Client Support desk at CSODESK@efgcapital.com . If you cannot access us through any of those means you should contact our clearing/custodial platform (s):

For Pershing LLC Platform: Contact Pershing LLC, (“Pershing”), a wholly owned subsidiary of The Bank of New York Mellon Corp., directly to process limited trade related transactions, cash disbursements, and security transfers. Instructions to Pershing must be in writing and transmitted via facsimile at (201) 413-5368 or by postal service as follows:

Pershing LLC
P.O. Box 2065
Jersey City, NJ 07303-2065

For EFG Bank - Geneva Platform: Contact EFG Bank (“EFG Bank”), at +4122-918-7171 for instructions on trade orders, check, wire requests, and securities transfers.

For EFG Bank - Bahamas Platform: Contact EFG Bank (“EFG Bahamas”), at +242-502-5400 for instructions on trade orders, check, wire requests, and securities transfers.

For EFG Bank - Cayman Platform: Contact EFG Bank (“EFG Cayman”), at +345-943-3350 for instructions on trade orders, check, wire requests, and securities transfers.

PLEASE NOTE THAT IN THE EVENT OF ANY BUSINESS DISRUPTION, THIRD PARTY WIRES MAY ONLY BE ALLOWED UNDER SPECIAL CIRMUSTANCES.

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 customers 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 customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm(s)/ custodian(s) backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm(s)/ custodian(s) that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 3 days. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as 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 3 days. In a disruption affecting our business district, city, or region, we will transfer our operations to a remote location in the Florida or Atlanta area and resume business within 3 days. This BCP may be negatively affected by the unavailability of external resources and circumstances beyond our control. As a result, the BCP is subject to modification and an updated summary, which will be promptly executed and mailed to our customers each calendar year end. Customers may request a copy of our BCP by writing to our office at 701 Brickell Avenue, 9th floor, Miami, FL 33131 Attn: Compliance Area, or e-mail us at compliance@efgcapital.com.

In either situation, we plan to continue in business and will transfer operations to our co-location or clearing firm(s)/custodian(s), if necessary. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at 305-482-8000 or the individuals listed below:

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CTO/BCP Manager

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Mr. Eduardo Cruz

EFG Capital CCO

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