



January, 2017

## Business Continuity Plan

Securities industry regulations require that brokerage firms inform their clients of their plans to address the possibility of a business disruption that potentially results from power outages, natural disasters, or other events. Carrollton Capital Partners and Merit Harbor Capital have a comprehensive business continuity program in place, which we review and update annually.

Carrollton Capital Partners, and Merit Harbor Capital have 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 Merit Harbor Capital - If after a significant business disruption, you cannot contact us as you usually do at Merit Harbor Capital, you should go to our web site at [www.MeritHarborCapital.com](http://www.MeritHarborCapital.com)

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.

For more information - If you have questions, you can contact the Merit Harbor Capital's Chief Compliance Officer, at 1-253-327-1490.