

Important Resources

Intranet:

<http://www.sagerutty.com/intranet>

Remote Email:

<http://mail.smarshmail.com>

Enter your credentials:

Full Email address

Email password

FCC

877-496-3221 opt 2

SEI

800-734-1003

SageRutty
And Company, Inc.

100 Corporate Woods
Suite 300
Rochester, NY 14623

Phone: 585-232-3760
Fax: 866-902-0273

SageRutty

Employee

Business Continuity Plan



What do you do now?

That is the first question you will ask yourself if Sage Ruttly ever needs to activate our Business Continuity Plan. In this brochure we will attempt to answer those first important questions you will have should the need arise.

What is an SBD?

Our plan anticipates two kinds of Significant Business Disruptions (SBD), internal and external. Internal SBDs affect only our firm's ability to communicate and do business, such as a fire or power failure in our building. External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack or a wide-scale, regional disruption. Our response to an external SBD relies more heavily on other organizations and systems, especially on the capabilities of FCC, SEI, and Allen & Co, our small firm emergency handoff partner.

What happens During Working Hours?

Immediate Evacuation of Facilities

The number one priority is the health and safety of our staff. Once all employees are deemed safe, an immediate evaluation will be conducted by management and you will be notified what steps to take going forward.

Loss of Critical Systems (i.e. power, computers)

- Immediate short-term handoff to FCC and SEI will commence.
- Information sharing distributed via regional office communication system.
- Website homepage will be updated informing the public of situation and alternative communication means.
- All outgoing phone calls should be completed via cell phones when possible to preserve battery life of overall computer systems.
- If disruption to last longer than 2 hours, process of transitioning incoming phone calls to predetermined phone tree will commence.

If Outside Working Hours

Once the plan has been activated, all employees will be notified at least one of three ways:

- Phone call (home or cell)
- Email
- Text Message

You will be told of the plan activation and given directions on whether or not to report to work or stay home and monitor the firm's Intranet site for further updates.

Ongoing Updates

During an emergency, all efforts will be made to keep employees updated throughout the duration of the event. After the initial notification, more detailed notices will be posted on the firm's Intranet, which can be found at:

<http://www.sageruttly.com/intranet>

NOTE: Please **DO NOT** attempt to contact the management team members directly once an emergency has been declared. They will be focusing on implementation of the plan to restore normal business operations as quickly as possible.