

## **Olivetree Financial, LLC Business Continuity Plan Summary Disclosure**

Olivetree Financial has developed a Business Continuity Plan for how we will respond to events that may significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will be flexible in responding to actual events as they occur.

**Contacting Us** – During a significant business disruption you should first attempt to contact us as you usually do, through Bloomberg, individual e-mail, or by calling our main phone number: (646) 930-6600. If you are unable to reach us through those means, please refer to our business contact list:

Todd Lowen: Head-US Event Driven Group  
917.622.4055  
[Todd.Lowen@olivetreeglobal.com](mailto:Todd.Lowen@olivetreeglobal.com)

Kenneth Savio: Chief Executive Officer  
917.907.0920  
[Kenneth.Savio@olivetreeglobal.com](mailto:Kenneth.Savio@olivetreeglobal.com)

Joseph Roche: Chief Compliance Officer  
201-970-3096  
[Joe.Roche@olivetreeglobal.com](mailto:Joe.Roche@olivetreeglobal.com)

If you can't reach us through any of these means, you may contact our clearing firm, Virtu Americas, LLC, and speak with Anthony Ilario or Ken Christensen at 212-444-6429 or [ops.group@virtu.com](mailto:ops.group@virtu.com) for questions about settlement or allocations on existing trades.

**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 backup and recovery; 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.

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 several business days. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business as soon as possible. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and keep you informed of updates through our compliance group; (646) 930-6695 or [compliance@olivetreeglobal.com](mailto:compliance@olivetreeglobal.com).

Our clearing firm, Virtu Americas, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, we have been advised by our clearing firm that its objective is to restore operations and be able to complete existing transactions and accept new transactions within a reasonable period. Your orders and allocations could be delayed during this period.

**For more information** – If you have questions about our business continuity planning, you can contact us at [compliance@olivetreeglobal.com](mailto:compliance@olivetreeglobal.com).