

Gordon, Haskett Capital Corporation's Customer Business Continuity Disclosure

Gordon, Haskett Capital Corporation has 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 Us – If after a significant business disruption you are able to contact us as you usually do at our general office numbers (212) 883-0600 or our trading room, (800) 221-3236, you may obtain prompt access to funds and securities, enter orders and process other trade-related, cash, and security transfer transactions by calling our sister firm Gordon, Haskett & Co. at any of its general office numbers, (203) 422-6900 or (203) 862-5100, or go to their website at <http://www.indataweb.com>, click on to the “contact us” menu in that website and enter and transmit your contact information.

In the event for any reason you are unable to contact us and you require immediate access to your available funds or securities, you can contact our clearing agent, National Financial Services LLC (“NFS”), by calling its emergency hotline number (800) 343-3548.

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, NFS, 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 that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within one business day. 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 one business day. 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 within a week. In either situation, we plan to continue in business using the alternative methods of communication listed above. 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.

Customer information – Upon the opening of accounts, customers are notified of our Business Continuity Plan and a copy of the Business Continuity Plan will be mailed to customers upon request. If you have questions about our business continuity planning, you can contact us at (212) 883-0600, or write us at Gordon, Haskett Capital Corporation, 441 Lexington Avenue, New York, NY 10017, Attention: Mark B. Borteck, Esq., General Counsel.