



Purshe Kaplan Sterling Investments Business Continuity Plan Summary Disclosure Statement

In the event of a significant business disruption, whether it be internal or external, Purshe Kaplan Sterling Investments (PKS) will post on its website all necessary information for clients to continue accessing their accounts and maintaining contact with the broker/dealer. On the web page you will find all the information you will require during a significant disruption in either the financial markets or the operation of the firm as a whole.

As all securities are held in custody by National Financial Services, LLC, the clearing firm of PKS, clients' access to their funds and securities is assured. In the event of a significant business disruption at the location of the Headquarters office, PKS has made arrangements to relocate all mission critical information, personnel, and documentation to an alternative location.

This plan is subject to modification at any time, or as the need arises. All updated information will be posted to the web site.

Clients may obtain a written copy of this business continuity summary by contacting the PKS Compliance Department at 18 Corporate Woods Boulevard, Albany, NY 12211.