

HamptonRock Partners, LLC

Business Continuity Plan

Client Disclosure Statement

HamptonRock Partners, LLC has developed a Business Continuity Plan (“BCP”) on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are 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 BCP.

Contacting Us - If after a significant business disruption, you cannot contact us as you usually do at 917.513.5939, you should call our alternate number 615.944.5254 or go to www.hamptonrock.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 BCP is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our BCP addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical suppliers, contractors, 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.

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 24 hours. 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 48 hours. In either situation, we plan to continue in business and notify you through our web site www.hamptonrock.com or one of our customer emergency numbers, 917.513.5939, 615.944.5254, or 214.924.7961. If the significant business disruption is so severe that it prevents us from remaining in business, we will ensure our customers have prompt access to their deal documentation.

For more information - If you have questions about our business continuity planning, you can contact us at 917.513.5939.

This plan is subject to modification, an updated summary will be promptly posted on our website, and customers may alternatively obtain updated summaries by requesting a written copy by mail.