

## **Arthur W. Wood Company, Inc.'s Business Continuity Planning Summary**

Arthur W. Wood Company, Inc. 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 cannot contact us as you usually do at 617-542-0500, you should contact our clearing firm, Raymond James & Associates for instructions on how it may process limited trade-related transactions, cash disbursements, and security transfers.

Raymond James & Associates  
Client Services 1-800-647-7378

For additional information about how to request funds and securities when you cannot contact us directly due to a significant business interruption, please visit the "Business Continuity Planning Disclosure Statement" section of the Raymond James website at [http://www.raymondjames.com/business\\_continuity\\_planning.htm](http://www.raymondjames.com/business_continuity_planning.htm).

**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, Raymond James & Associates, 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 six (6) hours. Your orders and requests for funds and securities could be delayed during this period. This recovery objective of six (6) hours may be negatively affected by the unavailability of external resources and circumstances beyond Raymond James' control.

**Varying Disruptions** – Significant business disruptions can vary in their scope, such as only our firm, the 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 eight (8) 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 eight (8) hours. This recovery objective of eight (8) hours may be negatively affected by the unavailability of external resources and circumstances beyond our control. In either situation, we plan to continue in business, transfer our operations to our clearing firm if necessary and their contact information is indicated 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 through our clearing agent as indicated above.

**For more information** – If you have additional questions about our business continuity planning, you can contact us at 617-542-0500 or via email to [customerservice@arthurwood.com](mailto:customerservice@arthurwood.com).