

## **BCP Client Disclosure**

### **Purpose of this disclosure**

FINRA Rule 4370 requires member firms to create and maintain a written business continuity procedures relating to an emergency or significant business disruption (“SBD”).

Cesta Capital LLC (“Cesta Capital”) has developed and tested a Business Continuity Plan on how Cesta Capital will respond to events that significantly disrupt its business. Since the timing and impact of disasters and disruptions is unpredictable, Cesta Capital will have to be flexible in responding to actual events as they occur. With that in mind, Cesta Capital provides this information on its business continuity plan.

Contacting Cesta Capital – If after significant business disruption clients cannot contact Cesta Capital at (214) 548 - 1850; clients should go to our website <https://www.cestacap.com> for further instruction during a significant business disruption.

Cesta Capital Business Continuity Plan – Cesta Capital plans to quickly recover and resume business operations after a significant business disruption and respond by safeguarding its employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing customers to transact business. In short, the business continuity plan is designed to permit Cesta Capital to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

The 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 customers prompt access to their funds and securities if Cesta Capital is unable to continue its business.

Cesta Capital’s clearing firm backs up important records in a geographically separate area. While every emergency poses unique problems based on external factors, such as time of day and the severity of the disruption, Cesta Capital has been advised by its’ clearing firm their objective is to restore their own operations immediately or as soon as possible, depending on the damage to the facility. Clients’ 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 affecting only Cesta Capital, a single building housing Cesta Capital, the business district

where Cesta Capital is located, the city where Cesta Capital is located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe.

Cesta Capital has equipped each employee with the resources to continue operations from their home. If Cesta Capital experiences any level of disruption, the firm will transfer operations to work from home status as quickly as possible. If the disruption is regional in nature, where employees cannot function from home, Cesta Capital will transfer operations to its clearing firm, if necessary, and notify clients through its web site, <https://www.cestacap.com>. If the significant business disruption is so severe that it prevents Cesta Capital from remaining in business, Cesta Capital will ensure its customers' prompt access to their funds and securities.