

Business Continuity Plan – Notice

This Business Continuity Plan (“BCP”) is maintained by Puente Servicios Financieros, LLC (“PSF”), a broker-dealer registered with the Financial Industry Regulatory Authority (“FINRA”), and its affiliated Securities and Exchange Commission (“SEC”) registered investment adviser, Puente Asesoramiento de Inversiones, LLC (“PAI”), regarding the overall services and shared operational framework of these entities. Collectively, PSF and PAI are referred to herein as “Puente U.S.”

PSF and PAI conduct their respective brokerage and advisory activities from the same primary office location in the United States. As affiliated entities, they share certain facilities, infrastructure, vendors, and systems, and may utilize dually associated personnel where appropriate. Although both entities operate under the common Puente brand and may serve many of the same clients, each maintains separate registrations, supervisory programs, and approved business activities consistent with applicable FINRA and SEC requirements.

Puente U.S. has developed this BCP to address how it will respond to events that significantly disrupt business operations. Because the timing, severity, and nature of business disruptions cannot be predicted, Puente U.S. must maintain flexibility to respond to actual events as they occur. Accordingly, Puente U.S. provides the following summary of its BCP.

Puente U.S.’ BCP addresses:

- data backup and recovery;
- mission critical systems;
- financial and operational assessments;
- alternative communications with customers, clients, employees, and regulators;
- alternate physical locations for personnel;
- the impact on critical suppliers, vendors, custodians, counterparties, and other service providers;
- regulatory reporting obligations; and
- providing customers and advisory clients with prompt access to their funds and securities through the appropriate clearing firm or custodian if Puente U.S. is unable to continue business.

In the event of a disruption affecting only Puente U.S.’ primary office location, Puente U.S. has arranged for operations to be conducted from alternate locations not affected by the disruption. Recovery time in this type of scenario is expected to be minimal, although certain records may need to be accessed from off-site storage or recreated in order to resume operations. In the event of a disruption affecting the surrounding business district, city, or region, Puente U.S.’ response will depend more heavily on the resiliency and business continuity capabilities of its critical third parties, including its clearing firm and the qualified custodians used for advisory client accounts. If Puente U.S. determines that it is unable to continue business operations, it will take reasonable

steps to ensure that customers and advisory clients have prompt access to their funds and securities through the applicable clearing firm or custodian.

In the event of a significant business disruption, customers and advisory clients should first attempt to contact Puente U.S. at its main office at **+1 (786) 589-6071**. If Puente U.S. cannot be reached, brokerage customers should contact the clearing firm identified on their account statements for instructions regarding trade-related transactions, cash disbursements, and securities transfers. Advisory clients should contact the custodian identified on their account statements for access to their accounts. During a disruption, the processing of transactions, withdrawals, and transfers may be delayed.

Puente U.S.' Business Continuity Plan is subject to change at any time. A current or updated copy of this BCP summary is available upon request. Any questions regarding this Business Continuity Plan may be directed to Puente U.S. at **+1 (786) 589-6071**.