THE BAKER GROUP LP
BUSINESS CONTINUITY PLAN
CUSTOMER DISCLOSURE
October 2013

The Baker Group LP has developed and maintains a business continuity plan to address interruptions to our normal course of business. These plans are reviewed annually and updated as necessary. Our plan outlines the action The Baker Group LP will take in the event of a building, city-wide, or regional incident. An off-site facility located in Oklahoma City, with redundant computer capabilities, has been established. Key personnel will be relocated to this facility in the event a significant business disruption has been declared.

Our firm maintains its hard-copy books and records and its electronic records at the Oklahoma City, OK office. The electronic records are backed-up at least once daily by copying the data to servers located at our back-up facility. Additionally, a back-up hard drive created on the 15th of each month is transported to a secure location for permanent storage.

Our recovery time for business resumption, including relocation of personnel or technology is four (4) hours. This recovery objective may be negatively impacted by the unavailability of external resources and circumstances beyond our control.

In the event of a significant business disruption, those customers for whom we maintain accounts at Pershing, LLC as an introducing broker, may contact us at our alternate telephone number (405) 254-5084 or email us at bakerpershing@bakerbackup.com.

If unable to reach us by these methods for any reason, you may contact Pershing directly to process limited trade-related transactions, cash disbursements, and security transfers. Instructions to Pershing must be in writing and transmitted via facsimile or postal service as follows:

Pershing LLC
P. O. Box 2065
Jersey City, N.J. 07303-2065
Fax: (201) 413-5368

For additional information about how to request funds and securities when The Baker Group LP cannot be contacted due to a significant business disruption, please call (201) 413-3635 for recorded instructions or go to the Customer Support page at http://www.pershing.com/index.html. If unable to access the instructions for the website or the previously noted telephone number, Pershing may be contacted at (213) 624-6100, extension 500, as an alternate telephone number for recorded instructions.