

FIN-POL-015

# Business Continuity and Resilience Policy

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*A structured approach to maintaining  
continuity and operational resilience*

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**Finova Policy**

*Built on Integrity, Discipline and Trust*

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**Finova Trading FZE LLC**

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## Document Control

Item	Detail
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### 1. Policy Statement

Finova is committed to maintaining the continuity and resilience of its operations in the face of disruption. The ability to continue operating, protect critical information, and respond effectively to unexpected events is essential to safeguarding stakeholders and maintaining trust.

This policy sets out how Finova approaches business continuity and operational resilience across its activities.

### 2. Our Approach to Business Continuity and Resilience

Finova recognises that disruptions may arise from a range of events, including operational failures, technology issues, third-party dependencies, environmental incidents, or external events beyond its control.

The firm adopts a proportionate and risk-based approach to business continuity, focusing on preparedness, adaptability, and recovery rather than rigid or overly complex planning. Continuity considerations are embedded into how Finova operates, rather than treated as a standalone exercise.

Finova's objective is not only to respond to disruption, but to do so in a manner that minimises impact on stakeholders and preserves the integrity of ongoing engagements.

### 3. How Continuity is Maintained

In practice, Finova:

- identifies activities and resources that are critical to its operations,
- considers dependencies on systems, information, people, and third parties,
- takes reasonable steps to reduce single points of failure, and
- plans for alternative ways of operating where disruption occurs.

Business continuity planning is scalable and reflects the nature, size, and complexity of Finova's activities.

### 4. Responding to Disruption

When disruption occurs, Finova prioritises:

- the safety and wellbeing of individuals,
- the protection of sensitive information and assets, and
- the continuation or orderly management of critical activities.

Decisions during disruption are guided by judgement, available information, and the need to act responsibly under the circumstances. Where appropriate, Finova will communicate with relevant stakeholders to manage expectations and maintain transparency.

## 5. Governance and Oversight

Responsibility for business continuity and resilience sits with Finova's management, supported by appropriate oversight and escalation mechanisms.

Significant disruptions or resilience concerns are reviewed to identify lessons learned and opportunities for improvement. Where appropriate, external support may be sought to assist with recovery or assessment.

## 6. Alignment with Recognised Resilience Principles

Finova's approach to business continuity and resilience is informed by recognised business continuity and operational resilience principles, including those reflected in frameworks such as ISO 22301.

References to such frameworks guide approach and structure, without implying certification or formal accreditation.

## 7. Review and Continuous Improvement

This policy is reviewed periodically to ensure it remains appropriate, effective, and aligned with Finova's activities and operating environment.

As risks, dependencies, and operating models evolve, Finova's approach to continuity and resilience will adapt accordingly, and this policy will be updated where necessary.

 End of Policy 

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