



Business Continuation Plan

Hamilton Lane Advisors

North America Offices

- *United States of America*
- *Mexico City (Mexico)*

External: April 2024

Table of Contents

1.0 Administrative

1.1 Plan Goal	1
1.2 Recovery Priorities	1
1.3 Stages of a Disaster	2
1.4 Plan Assumptions	2
1.5 Duties of the Plan Coordinators	2

2.0 Response Teams

2.1 Management Team	3
2.2 Technology Team	3
2.3 Damage Assessment Team	4
2.4 Employee Relations Team	4
2.5 Client Relations Team	5
2.6 Finance Team	5
2.7 Legal & Compliance Team	6
2.8 Hamilton Lane Remote Offices	6

3.0 Business Activation of the Plan

3.1 First Hour Checklist (Management Team)	9
3.2 Online Backup Data Center Facility	10
3.3 Minimum Acceptable System Recovery	10
3.4 Mail Delivery Information	10

4.0 Remote Office Business Continuation

Remote Plan Facility Locations	11
4.1 Management / Employee Relations / Client Relations Team – Remote Offices	12
4.2 Disaster Recovery for Distribution Management Team	13

5.0 General Information

5.1 Banking Information	15
5.2 Fund Administrator	15
5.3 Insurance Company	15
5.4 Medical / Welfare Accounts	15
5.5 Retirement Accounts	15

6.0 Key Contacts Lists

6.1 Client Contacts List	15
6.2 Partnership Contacts List	15
6.3 Distribution Management Custodian Broker Contacts List	15

7.0 Hamilton Lane Employee Contact List

8.0 Floor Schematics

1.0 Administrative Information

1.1 Plan Goal

The goal of the Hamilton Lane business continuation plan is to resume critical business functions as soon as possible following a major disruptive event that threatens normal business operations.

Types of Disasters:

- Terrorism
- Earthquakes
- Cyber Terrorism
- Environmental Hazards
- Fire
- Hurricane/Tornado
- Power Outage
- Flooding

Business continuation planning for Hamilton Lane is an ongoing process that will require the participation and support of all company employees.

1.2 Recovery Priorities

The Hamilton Lane business continuation plan will have the following priorities during and immediately following a major disruptive event:

- Official disaster declaration by a member of the Management or Technology Team
- Notification of management/authorities
- Initiation of emergency response plan
- Site stabilization & damage assessment
- Restoration of communication functions
- Restoration of network and computer functions
- Resumption of critical administrative functions
- Resumption of critical production functions
- Inform employees
- Inform Hamilton Lane satellite offices

1.3 Stages of a Disaster

- Recognize
 - Protect human life
 - Determine the nature of disaster or event
 - Notify management/authorities
 - Inform employees
- Respond
 - Activate Emergency Response Teams
 - Employee relocation procedures
 - Customers/Partners/Suppliers notified
 - Coordinate with fire, police, etc.
 - Decision to activate Business Continuation Plan
- Recover
 - Determine short/long interim processing
 - Initiate IT Disaster Recovery Plan
 - Review events, begin documentation
- Restore
 - Priorities set and maintained
 - Maintain flexibility
 - Restore power, security environments
 - Restore/replace hardware/software
 - Business operations return to normal

1.4 Plan Assumptions

The business continuation plan is based on the following assumptions.

- All information in the plan is current
- Vital records and backup data are intact and retrievable
- Most Response Team members will be available to perform their assigned duties

1.5 Duties of the Plan Coordinators

The Head of Technology Infrastructure will serve as the Plan Coordinator.

- Maintain and coordinate necessary updates of the company Business Continuation Plan
- Ensure that all company managers and response team members have current copies of the plan
- Review and update the plan on a quarterly basis or as significant changes are made within the company that would require an alteration to the existing plan
- Schedule and conduct any required business continuation sessions

2.0 Response Teams

Response Teams are formed to coordinate all emergency procedures.

2.1 Management Team

The Management Team is comprised of a representative group of managers from several company departments. Duties and responsibilities include:

- Declaring an Emergency
- Establishment of an Emergency Operations Center
- Activation of business continuation strategies
- Coordination of response activities
- Notification of response team
- Notification of authorities to the following:
 - The location of the disaster
 - The nature of the disaster
 - The magnitude of the disaster
 - The impact of the disaster
 - Assistance required in overcoming the disaster
- Anticipated timelines
- Allocate adequate funding and resources for response activities
- Monitoring of all response procedures

Management Team members

- Chief Executive Officer
- Vice Chairman
- Head of Investments
- Managing Director, Head of Technology Infrastructure

2.2 Technology Team

The Technology Team is comprised of Information Technology personnel. This team is responsible for executing the IT Disaster Recovery Plan to bring Hamilton Lane's critical systems and infrastructure back online as quickly as possible. Duties and responsibilities include:

- Evaluating IT Systems to determine what systems are operational, if system recovery can occur at the existing site, or if system recovery must take place at the disaster recovery site
- Initiating and executing the Information Technology Systems Administrator Disaster Recovery Plan as necessary to bring systems back online
- Communicating with the Management Team throughout the recovery process

- Restoring communications and data processing functions to the primary site following a major disruptive event

Technology Team members

- Head of Technology Infrastructure & CISO
- Vice President, Senior Systems Engineer
- Vice President, Head of End User Technology & Information Security
- Vice President, Security Engineer
- Head of Application Development

2.3 Damage Assessment Team

The Damage Assessment Team is comprised of designated managers and information technology personnel. Team duties will include the following:

- Make a comprehensive damage assessment as soon as possible after any damage-causing incident
- Report damage assessment results to the Management Team using Damage Assessment Forms
- Contact appropriate restoration contractors and insurance providers to initiate restoration functions

Damage Assessment Team members

- Vice Chairman
- Director of Facilities
- Head of Technology Infrastructure & CISO

2.4 Employee Relations Team

The Employee Relations Team is comprised of Human Resources, Administrative and Managerial Personnel. Duties and responsibilities include:

- Communicating company status to Hamilton Lane employees. This includes notification of the disaster and next steps
- Notification of where and when employees should meet

Employee Relations Team members

- Vice Chairman
- Head of Global Human Resources
- Head of Corporate Marketing and Communications

2.5 Client Relations Team

Comprised of Administrative, Human Resources and Marketing Personnel. Duties and responsibilities include:

- Communicating company status to customers following any significant disruptive event
- Communicating anticipated impact on service offerings
- Communicating anticipated impact on security of client information
- Communicating anticipated timelines

Client Relations Team members

- Head of Product Management

2.6 Finance Team

This team will be responsible for ensuring that all of Hamilton Lane's finances are dealt with in an appropriate and timely manner in the event of a disruptive event. The finance team will ensure that there is money available for necessary expenses that may result from a disaster as well as expenses from normal day-to-day business functions. Duties and responsibilities include:

- Ensure there is sufficient cash on-hand or accessible to deal with small-scale expenses caused by the disaster. These can include paying for DR team members' accommodation and food, incremental bills, etc.
- Ensure there is sufficient credit available or accessible to deal with large-scale expenses caused by the disaster. These can include paying for new equipment, repairs for primary facilities, etc.
- Review and approve Disaster Teams' finances and spending
- Ensure that payroll occurs and that employees are paid as normal, where possible
- Communicate with creditor to arrange suspension of extensions to scheduled payments, as required
- Communicate with banking partners to obtain any materials such as checks, bank books etc. that may need to be replaced because of the disaster

Finance Team members

- Chief Financial Officer
- Corporate Controller
- Director of Accounting

2.7 Legal & Compliance Team

Comprised of Attorneys and Compliance Professionals. Duties and responsibilities include communicating company status to the following:

- Regulatory Authorities, if relevant (e.g., SEC, FINRA & ex-US)
- NASDAQ
- Applicable outside counsel and compliance service providers

Legal & Compliance Team Notification members

- General Counsel
- Head of Compliance Risk and Strategic Integrations

2.8 Hamilton Lane Remote Offices

North America

- Conshohocken
110 Washington Street – Suite 1300
Conshohocken, PA 19428
Main: +1.610.934.2222
- Denver
10333 East Dry Creek Road – Suite 310
Englewood, CO 80112
Main: +1.866.361.1720
- Miami
999 Brickell Avenue – Suite 720
Miami, FL 33131
Main: +1.954.745.2785
- Moosic
54 Glenmaura National Boulevard - Suite 302
Moosic, PA 18507
Main: +1.570.247.3739
- New York
610 Fifth Avenue – Suite 401
New York, NY 10020
Main: +1.212.752.7880
- Portland
5335 Meadows Road – Suite 280
Lake Oswego, OR 97035
Main: +1.503.624.9910

- San Diego
7817 Ivanhoe Avenue – Suite 310
La Jolla, CA 92037
Main: +1.858.410.9967
- San Francisco
201 California Street – Suite 550
San Francisco, CA 94111
Main: +1.415.365.1056
- Mexico City
Paseo de la Reforma #333
Office Space 417
Cuauhtemoc, CP 06500
Mexico City
- Toronto
40 King Street West
Suite 3603
Toronto, Ontario
Canada M5H 3Y2
Main: +1.437.600.3006

Asia

- Hong Kong
Room 1001-2, 10th Floor
St. George's Building
Two Ice House Street,
Central Hong Kong
China
Main: +852.3987.7191
- Seoul
12F, Gangnam Finance Center
152 Teheran-ro, Gangnam-gu
Seoul 06236
Republic of Korea
Main: +82.2.6191.3200
- Shanghai
One ICC
Shanghai International Commerce Centre
Room 2110-2111
No. 999 Middle Huaihai Road
Xuhui, Shanghai Municipality 200031
Main: +86.021.8012.3630

- Singapore
 - 12 Marina View
 - Asia Square Tower Two – Suite 26-04
 - Singapore, 018961
 - Main: +65.6990.7850
- Tokyo
 - 13F, Marunouchi Building
 - 2-4-1 Marunouchi
 - Chiyoda-ku Tokyo 100-6313
 - Japan
 - Main: +81.3.5860.3940

Australia

- Sydney
 - Aurora Place
 - Suite 3 – Level 33
 - 88 Phillip Street
 - Sydney, NSW 2000
 - Australia
 - Main: +61.2.9293.7950

Europe

- Frankfurt
 - Schillerstr. 12
 - 60313 Frankfurt am Main
 - Germany
 - Main: +49.69.153.259.293
- London
 - 10 Bressenden Place
 - 4th Floor
 - London SW1E 5DH
 - 020 8152 4163
 - United Kingdom
 - Main: +44.20.8152.4163
- Milan
 - Via Filippo Turati 30
 - 4th Floor
 - 20121 Milan
 - Italy
 - Main: +39.02.3056.7133
- Stockholm
 - Ostermalmstorg 1 – Floor 4
 - 114 42 Stockholm
 - Sweden
 - Main: +46.8.535.231.40

- Zurich
Genferstrasse 6
8002 Zurich
Switzerland
Main: +41.43.883.0352

Middle East

- Israel
6 Hachoshlim Street
Building C – 7th Floor
Herzeliya Pituach, 4672406
POB 12279
Israel
Main: +972.73271.06610

3.0 Business Activation of the Plan

The Hamilton Lane Business Continuation Plan will be initiated under the following circumstances:

- When the Tower Bridge building is subject to a site-specific event that results in significant damage to company contents and/or network operating systems
- When there is a significant and/or extended interruption of utility services at the Tower Bridge building
- When the Tower Bridge building is subject to a site-specific event or regional disaster that prevents access to the building for an extended period (to be determined by the Management Team)

3.1 First Hour Checklist (Management Team)

If applicable, initiate Emergency Response Plan

- Notify any appropriate vendors (i.e., Verizon)
- Notify all members of Response Teams
- Establish a Command Center
- Determine the extent and impact of damage
- Initiate appropriate business continuation strategy
- Initiate IT Disaster Recovery Plan
- If applicable, notify insurance carrier
- Notify any mail carriers

3.2 Online Backup Data Center Facility

Hamilton Lane maintains backups of all systems at a remote data center located in Hamilton Lane's London facility in the United Kingdom. Backups are online and can be accessed remotely by members of the Technology Team should activation of the IT Disaster Recovery Plan be required. Cisco VPN facilities secure remote access to internal resources and is accessible by all users in a secure fashion over the internet using multi factor authentication.

See section 2.8 for the location of the London, UK office and its contact information.

Data Backup and Recovery

Hamilton Lane must have up-to-date server and data backups of its production environments and retain those backups for a period of five years. Currently, Hamilton Lane is utilizing an online data backup and recovery solution from Veeam, which backs-up to Quantum DXI devices located in both the Primary Data Center in Conshohocken and in the Backup Data Center in its London, UK office. Secure high bandwidth connectivity between the two facilities allows data to be backed-up on a nightly basis and replicated to the backup site. Recovery of data is available to be initiated as needed on a 24/7/365 basis.

3.3 Minimum Acceptable System Recovery

The following onsite user systems are deemed the most critical for the continuation of business and will be prioritized for recovery by the Technology Team should a disruptive event occur. Recovery of these systems is accounted for in the IT Disaster Recovery Plan, which details the steps that the Technology Team will take to bring these critical systems online after a disruptive event.

- Cisco AnyConnect
- File Servers
- Netscaler

The details regarding how these systems are recovered is documented in the IT Disaster Recovery Plan.

3.4 Mail Delivery Information

Hamilton Lane (United States)
Seven Tower Bridge
110 Washington Street – Suite 1300
Conshohocken, PA 19428

Hamilton Lane (Mexico)
Paseo de la Reforma #333
Office Space 417
Cuauhtemoc, CP 06500
Mexico City

4.0 Remote Office Business Continuation

The Hamilton Lane Remote Access plan is a critical component of the overall Business Continuity and Disaster Recovery Plans. Remote or isolated workers must continue their critical roles during times of emergency and must have secure and reliable access to an organization's key information databases and application servers. Remote offices serve as an integral part of Hamilton Lane operations, however, are not considered mission critical as a data storage source or repository.

In the event of a disaster at any remote office, users would be able to operate wherever an Internet connection is available. When necessary, all remote users are instructed to work from home. Users access e-mail via Outlook and Exchange Online; internal apps are accessed via Cisco VPN.

This Remote Plan covers the following facilities:

- North America
 - Conshohocken
 - Denver
 - Miami
 - Moosic
 - New York
 - Portland
 - San Diego
 - San Francisco
 - Mexico City
 - Toronto
- Asia
 - Hong Kong
 - Seoul
 - Shanghai
 - Singapore
 - Tokyo
- Australia
 - Sydney
- Europe
 - Frankfurt
 - London
 - Milan
 - Stockholm
 - Zurich
- Middle East
 - Tel Aviv

4.1 Management/Employee Relations/Client Relations Team – Remote Offices

The Remote Management Team is comprised of managers from all company departments. Duties and responsibilities include:

- Declaring an emergency
- Communicating company status to Hamilton Lane employees.
 - This includes notification of the disaster and next steps
- Managing employee relations
- Managing client relations
- Notifying home office of an emergency
- Contacting users stating plan for business continuation (ex. Working from home)
- Activating any business continuation strategies
- Coordinating of response activities
- Allocating adequate funding and resources for response activities
- Monitoring of all response procedures

The following individuals make up the Remote Management Team for their prospective offices.

- North America
 - Conshohocken – Managing Director, Head of Technology Infrastructure
 - Denver – Managing Director, 361 Capital
 - Miami – Managing Director of Mezzanine
 - Moosic – Head of Control Group
 - New York – Executive Assistant
 - Portland – Co-Head of Real Assets
 - San Diego – Managing Director of Relationship Management
 - San Francisco – Director of ESG & Sustainability
 - Mexico City – to be determined
 - Toronto – Principal of FIT
- Asia
 - Hong Kong – Co-CEO & Head of Asia
 - Seoul – Head of APAC Client Solutions and Head of Korea
 - Shanghai – Head of Shanghai Operations / Co-head of Asia Investments
 - Singapore – Head of Southeast Asia
 - Tokyo – Managing Director of Relationship Management
- Australia
 - Sydney – Managing Director of Business Development
- Europe
 - Frankfurt – Managing Director of Business Development
 - London – Head of EMEA / Managing Director
 - Milan – Relationship Manager, Principal
 - Stockholm – Managing Director of Client Solutions
 - Zurich – Managing Director of Business Development

- Middle East
 - Tel Aviv – Managing Director of Business Development

4.2 Disaster Recovery for Distribution Management Team

In the event of a disaster, users can operate wherever an internet connection is available. All Distribution Management (DM) employees can work from home or any location by accessing Hamilton Lane's secure network via the Cisco VPN. All DM data is stored in our Conshohocken (PA) Data Center and it is accessible 24/7. Each user has their own login account and will be able to print and access to the following applications:

- Advent (APX & Moxy)
- Distops
- Pipe Application
- MS Office
- Intranet
- Network Drives
- Omgeo

Forwarding Incoming calls

In the event of a disaster, our phone system can be configured as a forwarding system that allows incoming calls to be forwarded to the users' mobile phones, so they are able to receive calls. The phone extensions are associated with the user's mobile numbers which then can be controlled exactly when and where each incoming call is forwarded. The Network Team will be responsible for contacting the carrier (Masergy) to turn on the forwarding service.

Accessing DM Applications

Advent and Distops -Virtual Machines (VM) are in place and are stored at our Data Center. Both VM's are configured with the necessary applications and can be accessible 24/7 using a VPN and a remote desktop connection.

Web Interface Applications

FactSet – Is a Web Interface application which is accessible using the Chrome browser. Users can access FactSet from anywhere if they have an internet connection available by launching the Cisco VPN.

Pipe Application

Is an internal web application that is stored at our Data Center and can be accessible 24/7 through the Cisco VPN.

Software	Description
Advent (APX & Moxy)	(APX & Moxy) - Advent is our portfolio management and portfolio accounting system. All transactions executed by users are recorded in Advent. All of our reporting is run out of Advent. The information in Advent manages client portfolios.
Distops	Distops is a proprietary database program. This is used to record all stock distributions with more emphasis on the fund numbers compared to what is noted in Advent.
FactSet	Analytical Software tool for our investors. FactSet provides users with the tools to download, manipulate, analyze, and present financial data within a unified, secure environment.
Pipe Application	<p>Client\Asset Management database that Co-exists with Distops. It Keeps track of all Client exposures regarding commitment amounts and corresponding fund sizes.</p> <p>All IPO research and entry for clients with exposures to companies that may go public. Distributions of shares from funds – shares are adjusted from the total to keep track of the remaining shares held.</p> <p>Maintains company information – IPO dates, description, CUSIP #'s, ticker & holdings Client pipeline reports – display holdings of undistributed common stock for client meetings Total pipeline with holdings – undistributed common stock across all clients Run client exposure lists to cross reference for accuracy, changes and new fund additions</p>
Omgeo	Trade matching and reconciliation technology.

5.0 General Information

5.1 Banking Information

Due to Hamilton Lane's confidentiality policies, contact information for this section has been omitted.

5.2 Fund Administrator

Due to Hamilton Lane's confidentiality policies, contact information for this section has been omitted.

5.3 Insurance Company

Due to Hamilton Lane's confidentiality policies, contact information for this section has been omitted.

5.4 Medical / Welfare Accounts

Due to Hamilton Lane's confidentiality policies, contact information for this section has been omitted.

5.5 Retirement Accounts

Due to Hamilton Lane's confidentiality policies, contact information for this section has been omitted.

6.0 Key Contacts Lists

6.1 Client Contacts List

Due to Hamilton Lane's confidentiality policies, contact information for this section has been omitted.

6.2 Partnership Contacts List

Due to Hamilton Lane's confidentiality policies, contact information for this section has been omitted.

6.3 Distribution Management Custodian Broker Contacts List

Due to Hamilton Lane's confidentiality policies, contact information for this section has been omitted.

7.0 Hamilton Lane Employee Contact List

Due to Hamilton Lane's confidentiality policies, contact information for this section has been omitted.

8.0 Floor Schematics

Due to Hamilton Lane's confidentiality policies, contact information for this section has been omitted.