

Shareholders Service Group Business Continuity Plan Summary

Shareholders Service Group (SSG) has a Business Continuity Plan with detailed policies and procedures in the event of a significant business disruption (SBD). SSG will take appropriate measures to safeguard employee lives and property, to assess financial and operational processes, and to protect the books and records of SSG. SSG will continue to service its customers in the event of an internal or external SBD through its own means and/or with assistance of our clearing provider, Pershing. Depending upon the type of internal SBD (such as a fire or power outage), SSG may relocate its primary office facility to its designated alternative site. Business and operational services will continue through their normal means with communications via telephone, cell phone, e-mail and the SSG website. In the event of an external SBD (such as a terrorist attack or a natural disaster), SSG and Pershing have back-up facilities and specific arrangements in place to provide continued service. Our clearing agent, Pershing, has its own respective BCP in place to ensure continuous, reliable delivery of service to its customers while maintaining regulatory compliance. Alternative phone numbers to use in the event of a SBD are (858) 437-3171 or for Pershing, (201) 413-3635 or (213) 624-6100, ext. 500.

This Business Continuity Plan may be modified at any time as warranted. A current Business Continuity Plan summary is available on the SSG website at www.shareholdersgroup.com, under the “Important Legal Information” section link on the home page. A written hard copy is available via U.S. mail upon request.