

James T. Borello & Co.

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East Dundee, IL 60118
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BUSINESS CONTINUITY PLAN: Customer Disclosure Statement

James T. Borello & Co. has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at 847-426-0200 go to our web site at <http://jamestborello.com/>.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within a short period of time, our goal being within one day. In a disruption affecting our business district, city, or region, we will wait for services to be available so that we may resume business operations as soon as possible. Because the our firm does not hold customer funds or securities, and because customer investments are maintained directly by the respective fund or product sponsor, an internal or external SBD affecting our offices should not pose a threat to customer records or financial holdings. In the event of an SBD, we may attempt to notify you through our web site or our customer emergency number about how to contact us or your funds/product sponsors. If the significant business disruption is so severe that it prevents us from remaining in business, your respective fund company or product sponsor will assure prompt access to your funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at the address and phone number listed above.