

JAMES T. BORELLO & CO.

BUSINESS CONTINUITY PLAN
CUSTOMER DISCLOSURE STATEMENT

James T. Borello & Co. (the “Company”) has developed a Business Continuity Plan detailing 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.

The Company’s plan takes into account two kinds Significant Business Disruptions (SBDs), both internal and external. Internal SBDs affect only the Company’s ability to communicate and do business, such as a fire or loss electrical power in the office or building. External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a natural disaster, or another event that causes a wide-scale, regional disruption in essential services.

Contact information: Any questions regarding the Company’s Business Continuity Plans should be addressed to: Mr. Daniel Borello, 151 Dundee Avenue, East Dundee, IL 60118, 847-426-0200.

Internal SBDs: In the event of a disruption in the Company’s business operations due an internal SBD, the Company will attempt to continue to conduct business as usual by utilizing alternative communication methods (if available), such as the Internet, cell phones, etc., or by moving its operations to an alternative location.

External SBDs: In the event of a disruption in the Company’s business operations due to an external SBD, the Company will attempt to continue to conduct business as usual by moving its operations to an alternative location outside the effected area, if possible, or by providing customers with alternative arrangements.

The Company will resume normal business operations as soon as it is able to do so based on the type and the extent of the disrupting event.

Communications: In the event you are unable to reach the Company, customers should proceed as follows:

1. Attempt to contact the Company at the following alternate telephone number: 847-426-7350.
2. Contact the product sponsor directly at the number listed on your most recent statement.

All critical records related to the Company’s business operations are backed-up and stored in a secure offsite location. These back-up files can be used to restore Company systems to ensure that business can be back to normal as quickly as possible after the disruption.