

Fortis Clearing Americas LLC (FCA) Business Continuity and Contingency Planning

Securities industry regulations require that brokerage firms inform their customers of their plans to address the possibility of a business disruption that potentially results from power outages, natural disasters, or other events. FCA has a business continuity program which continues to be reviewed and updated. The plan provides for continuation of customer service in most cases.

Here are a few examples of what might occur if FCA were to experience a business disruption of varying magnitude:

- Whether due to a disruption exclusively to FCA's office, the entire building (175 W. Jackson), the City of Chicago and its business district, or the region, calls to FCA's main number 312-604-8000 through 8799 would be re-routed to our Business Continuity site.
- FCA maintains a back-up facility which is on a separate phone exchange system and separate power grid. Customer access to funds and securities would be facilitated through the back-up facility.

While no contingency plan can eliminate all risk of service interruption or temporarily impeded account access, FCA continually assesses and updates plans to mitigate all reasonable risk.

This notice is also available at FCA's website (www.us.fortisclearing.com) and to customers upon written request.