

Business Continuity Plan Disclosure

U.S. Bancorp Advisors LLC (“USBA” or the “Firm”) is committed to safeguarding the interests of its customers and employees. As a subsidiary of U.S. Bancorp, USBA promotes and facilitates business continuity through the detailed and centrally coordinated Business Continuity Program (“BCP”) of U.S. Bank, N.A. (“the Bank”). The Bank’s BCP utilizes a corporate-wide framework to initiate enterprise-wide global response and recovery for all events that potentially impact the brand, reputation, and/or financial solvency of the Bank. Our “all-hazards response” includes a comprehensive Business Continuity Plan comprised of scenarios, including the possibility of a pandemic influenza. The plan allows for an efficient means to conduct financial and operational impact assessments, to promptly recover and resume services, to protect the Firm’s books and records, and to provide customers access to their funds and accounts during an emergency or a business disruption.

The Bank is regulated primarily by the Office of the Comptroller of the Currency, which requires national banks to maintain disaster recovery plans. USBA, on the other hand, ensures that the BCP, in conjunction with the Bank’s programs, complies with applicable federal securities laws and Financial Industry Regulatory Authority (“FINRA”) rules and makes the BCP available to FINRA upon request.

The BCP outlines the Firm’s advance preparations and possible courses of action that are designed to address various magnitudes of disruption. Furthermore, the BCP has procedures in place that systematically address issues related to communications and reporting with staff, customers, and regulators; coordination of staff and resources; trade and order management; document processing and records preservation; account servicing; funding requirements; possible impacts on counter-parties and other business constituents; and other mission-critical systems.

In the event of a business disruption that affects the building, the business district, or the city, and the USBA headquarters is deemed to be unsafe or inoperable for more than twenty-four (24) hours, USBA staff and operations may be relocated to the Disaster Recovery Site. USBA intends to resume key operations as soon as possible or within forty-eight (48) hours of a disruption. Once services resume,

USBA Retail Brokerage customers can call 800-888-4700, while USBA Institutional Brokerage customers can call 800-358-8771. Actual recovery times will depend on the nature or severity of the disruption and whether it affects the building, the business district, the city, or the region.

USBA relies on its clearing arrangements with National Financial Services LLC (“NFS”) for securities clearing and other administrative or operational services for brokerage accounts, including the maintenance of certain books and records. Should USBA cease its business operations, NFS would be able to facilitate liquidating transactions and cash disbursements for brokerage account holders. In addition, the USBA product vendors that directly maintain customer accounts (i.e., insurance product carriers, 529 plan sponsors) would be able to provide ongoing services for respective USBA customers. In this instance, USBA customers may contact the NFS Customer Service Line at 800-801-9942, their applicable product vendors, or, if available, their USBA Financial Advisor. Meanwhile, USBA Institutional Brokerage Customers with their own custodial arrangements may contact their respective custodians to process liquidations or other transactions that may be offered by such custodians.

The Firm has employed steps aimed at maintaining and developing its BCP on an ongoing basis. A formal annual review of the BCP is conducted to determine whether revisions are necessary in light of new best practices or changes to the USBA business environment. Appropriate approvals are obtained as part of this review.

While USBA strives to prepare itself for a variety of business disruptions by having a robust and detailed BCP, it cannot guarantee that it will be successful in achieving recovery goals or in maintaining certain service standards, due to unpredictable and uncontrollable factors during emergency situations.

This notice about the USBA BCP is provided to customers when they open a new account and is also available on our website, [usbancorp-advisors/terms.html](http://usbank.com/usbancorp-advisors/terms.html). Customers may also call 800-888-4700 to request a copy of this notice. The USBA BCP is subject to change at any time.

Investment and insurance products and services including annuities are:

NOT A DEPOSIT • NOT FDIC INSURED • MAY LOSE VALUE • NOT BANK GUARANTEED • NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY

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