

Quincy Cass Associates, Inc. Business Continuity Statement

Quincy Cass Associates, Incorporated is committed to protecting the interest of our clients in the event of a business disruption due to internal or external situations. Should there be an event that interrupts our business for any length of time, clients may contact us to access their funds.

Back-up Phone numbers: 310-444-0938 630-319-9831

Quincy Cass Associates, Incorporated has a Business Continuity Plan (the “Plan”) in place which addresses areas of our business that could be affected by and interruption of any type; localized or widespread, short-or long-term. The Plan has the following guiding premises:

- The safety and welfare of our employees
- The continued ability of the firm to service its clients
- The protection of information and data used in our business
- The return to a fully functioning site

Any operational disruption will not result in the loss of information regarding your account or assets.

For an internal (office or building) disruption, the Plan provides for critical functions to be restored within one (1) business day, either at our place of business or at a remote, alternate address if necessary. During a local-area disruption, the Plan allows for transfer of our operations to an alternative address within 24 hours, until normal operations could resume at our regular business site. For a catastrophic event, whether man-made or natural disaster, Quincy Cass Associates, Incorporated may or may not return to regular business depending on the severity of the event in the Los Angeles County area. Information regarding our status of business and instructions to clients will be presented to our customers upon request.

We have also confirmed that Business Continuity Plans of our clearing firm and the investment companies which hold our clients’ assets and investments, that they are able to service our clients directly should the need arise.

If you would like a copy of the Quincy Cass Associates, Incorporated, “Plan” please contact us. The Plan is subject to annual review and periodic updates/changes.