



SunGard Transaction Network • www.sungard.com/stn • 630-789-4200 tel • 630-789-4235 fax

SunGard Institutional Brokerage Inc. (SIBI) Disaster Recovery (BCP) Statement

Version 2008.3 (April 1, 2008)

SunGard Transaction Network (STN), covering the network services of STN Funds, STN Money Markets & STN Securities, as well as the Institutional Brokerage services offered by SunGard Institutional Brokerage Inc. (SIBI), has developed a Business Continuity Plan (BCP) to respond to events that significantly disrupt our business. Because the timing and impact of disasters and disruptions are unpredictable, our BCP has been designed to be flexible in order to better respond to actual events as they occur. The following information is provided to you to keep you informed on our BCP.

SIBI applications and services utilize the services of SunGard Availability Services (SAS) <http://www.availability.sungard.com> to provide planning and implementation services for SIBI/STN's BCP and Disaster Recovery (DR) planning and testing. SAS is the leading provider of availability services in North America and Europe with over 10,000 customers. SAS has 3 million square feet of hardened facilities connected by 25,000 miles of network.

STN's operations are hosted in a number of SAS datacenters. These hosting datacenters provide a secure and fault tolerant environment for our operations. The STN applications operate on a variety of fault tolerant systems. From clustered databases to load balanced web and application servers, the STN systems are designed to be highly available and fault tolerant.

The various datacenters that host the STN applications and provide connections to the STN clients throughout the country are connected over the SunGard Global Network, which provides the ability to redirect the network traffic to alternate locations in a matter of minutes. Again, this design is intended to provide a full fault tolerant solution to our clients.

Our Business Continuity Plan:

Our BCP is designed to recover and quickly resume operations after a significant disruption. Our response to disasters will safeguard our employees and property, make appropriate financial and operational assessment, protect books and records, and allow our clients to continue to conduct business with us. Our BCP addresses the following:

(Note: This is not meant to serve as an all-inclusive list of our BCP, but rather, a summary of the contents of our plan):

- Immediate notification process
- Notification Lists/Logs
- Disaster declaration instructions/Client notification/contact procedures
- Vendor notification procedures
- Transportation plans to primary recovery sites
- Tape media handling instructions
- System restoration/Testing procedures/Data back-up and recovery
- Network verification procedures/Data Synchronization procedures
- Business resumption procedures

***Brokerage products and services offered by STN are provided by SunGard Institutional Brokerage Inc.
- Member FINRA/SIPC***

SunGard Transaction Network • SunGard Institutional Brokerage Inc. • 377 East Butterfield Road • Suite 800 • Lombard, IL, 60148



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Contacting Us:

If, after a significant business disruption you cannot contact your regular STN representative, you should call our alternative number at (630) 789-4200 and/or visit our website at www.sungard.com or www.sungard.com/stn for information and instructions. If you are unable to access either website or reach us via the alternative telephone number provided above, you should contact your Broker, Fund Company, Distributor and/or Clearing Firm for information on how to gain access to your information/services – including trading access. Provided below is the contact information for the firm's which we currently maintain a clearing relationship:

Assent, LLC

5 Marine View Plaza, Suite 102
Hoboken, NJ 07030
(201) 356-1400 (Main #)
(201) 356-1423 (Trade Support)
(201) 356-1444 (Fax #)
www.assent.com (Website)

Mid Atlantic Capital Corporation

1251 Waterfront Place, Suite 510
Pittsburgh, PA 15222
(412) 391-7077 (Main #)
(800) 693-7800 (Toll Free)
(412) 391-7220 (Fax #)
www.macg.com (Website)
info@macg.com (General Email)

Pershing, LLC

One Pershing Plaza
Jersey City, NJ 07399
(201) 413-3635 (Main #)
(213) 624-6100 Ext. 500
(201) 413-5368 (Fax #)
www.pershing.com (Website)

BNY ConvergeX Execution Solutions LLC

1633 Broadway, 48th Floor
New York, NY 10019
(800) 367-8998 (Main #)
(212) 468-7500 (DR Backup #)
(800) 828-5454 (DR Backup #)
www.bnyconvergex.com (Website)

Broadcort (a division of Merrill Lynch)

101 Hudson Street, 7th Floor
Jersey City, NJ 07302
(201) 557-4405 (Main #)
(312) 431-7100 (Chicago#)
(415) 676-3562 (San Francisco #)
www.broadcort.com (Website)

Significant business disruptions can vary in their scope, such as our firm, a single building housing one of our operational sites, the business district where our office are located, the city where these are located or the whole region. Additionally, the severity of the disruption can vary greatly. In a disruption impacting only our firm and/or one of our locations, we will transfer operations to a local site when needed. If the disruption impacts a datacenter hosting our system, they too will be transferred to other SAS locations and connections in the SAS network.

Current recovery times:

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|--------------------|---------------------------------------|-----------------------------|
| STN Funds: | Restoration of Processing: 5 minutes | Total Restoration: 4 hours |
| STN Money Markets: | Restoration of Processing: 15 minutes | Total Restoration: 1 hour |
| STN Securities: | Restoration of Processing: 1 hour | Total Restoration: 48 hours |
| STN 22c2 Services: | Restoration of Processing: 1 hour | Total Restoration: 48 hours |

In any situation, STN plans to continue its business, transfer processing as necessary and notify you through our websites, www.sungard.net and www.sungard.com/stn and through voice and electronic means where available. This notification and web posting will provide instructions on alternate numbers and how to contact us.

For more information regarding our BCP/DR plans, you can contact the SIBI/STN Compliance Department at (630) 789-4200, stn.info@sungard.com (contact for SunGard Transaction Network) or stntrading@sungard.com (contact for SIBI Institutional Trade Desk).

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