



SunGard Institutional Brokerage Inc.
Disaster Recovery Statement
(Version 2010.3)

SunGard Institutional Brokerage Inc. ("SIBI") has developed a Business Continuity Plan on 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 the following information as a summary of our Business Continuity Plan ("BCP"). Our BCP covers the network services of SunGard Global Network ("SGN") - SGN Funds, SGN Short-Term Cash Management (*formally STN Money Markets*) and SGN Securities - as well as the Institutional Brokerage services offered by the SIBI trade desk located out of our St. Louis, MO branch office.

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'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.

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

The various datacenters that host the SGN applications and provide connections to SGN clients throughout the country are connected over the SunGard Wide Area Network (WAN), 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:

We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our BCP is designed to permit our firm to resume operations as quickly as possible given the scope and severity of the disruption. Although the details of our BCP are proprietary and confidential, a summary of the major components of our BCP are as follows:

- Business resumption procedures
- Data back-up and recovery
- Disaster declaration instructions/Client notification/contact procedures
- Financial and operational assessments
- Mission Critical Systems
- Network verification procedures/Data Synchronization procedures
- Notification Lists/Logs
- Regulatory reporting
- System restoration & testing procedures
- Tape media handling instructions
- Transportation plans to primary recovery sites
- Vendor notification procedures



Varying Disruptions:

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. Within each of these areas, 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 and expect to recover and resume business within 1 – 48 hours - depending on the type of disruption. If the disruption impacts a datacenter hosting one of our systems, they too will be transferred to other SAS locations and connections in the SAS network. In a disruption affecting our business district, city or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within 24 - 48 hours, where possible. In either situation, we plan to continue business, transfer operations to our clearing firms (as applicable) and notify you through one or more of our websites listed in the Contact Us section below

Current recovery times (SGN):

SGN Funds:	Restoration of Processing: 5 minutes	Total Restoration: 4 hours
SGN Short-Term Cash Management: (<i>***Formally STN Money Markets</i>)	Restoration of Processing: 15 minutes	Total Restoration: 1 hour
SGN Securities:	Restoration of Processing: 1 hour	Total Restoration: 48 hours
SGN 22c2 Services:	Restoration of Processing: 1 hour	Total Restoration: 48 hours

Contacting Us:

If, after a significant business disruption you cannot contact your regular SGN representative, you should call our alternative number at (630) 789-4200 and/or visit our website at www.sungard.com, www.sungard.com/SGN, www.sungard.net or www.mm2.sungard.net for information and instructions.

If you are unable to access any of these websites or reach us via the alternative methods provided hereto, you should contact your Broker, Fund Company, Fund Distributor and/or Clearing Firm for information on how to gain access to your information and services – including your firm’s 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 #)
(412) 391-7220 (Fax #)
(888) 747-6426 (Emergency Number)
www.macg.com (Website)
info@macg.com (General Email)

BNY ConvergeEx 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.bnyconverge.com (Website)

Pershing, LLC

One Pershing Plaza
Jersey City, NJ 07399
(201) 413-2000 (Main #)
(201) 413-3635 (Customer Support)
(201) 624-6100 Ext. 500 (Customer Support)
(201) 413-5368 (Fax #)
www.pershing.com (Website)

For additional information regarding our firm’s BCP you can contact your primary SIBI representative or the SIBI Compliance Department at (630) 789-4200.