



Moloney's Business Continuity Planning

Moloney has developed a Business Continuity Plan with respect to 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 this information on our business continuity plan.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at 13537 Barrett Parkway Drive, Suite 300, Manchester, MO 6302, 314.909.0600, fax@moseco.com, you should call our alternative number 800.628.6002, or go to our website at www.moseco.com.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our financial advisors, 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 business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup and recovery; all mission critical systems; operational assessments; alternative communications with customers, financial advisors, employees, and regulators; alternate physical location of employees; critical supplier impact; regulatory reporting; and assuring our customers prompt access to their securities if we are unable to continue our business.

Our clearing firm, RBC Correspondent Services, holds electronic copies of our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments as soon as practicable. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business as soon as practicable. 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 as soon as practicable. In either situation, we plan to continue in business and notify you through our website www.moseco.com or our customer emergency number, 800628.6002. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their trade entry and account information.

For more information – If you have questions about our business continuity planning, you can contact us at 13537 Barrett Parkway Drive, Suite 300, Manchester, MO 63021. Our main telephone number is 314.909.0600. Our main email address is fax@moseco.com.