

B.C. Ziegler and Company
Business Continuity Plan Summary
September 30, 2019

B.C. Ziegler and Company ("Ziegler") has developed a Business Continuity Plan ("BCP"). We recognize the importance of preparing for disaster scenarios and the importance of taking the necessary steps to provide for business continuity and contingency planning. Ziegler's BCP identifies the means by which the firm will respond to disasters including its ability to continue serving client needs and providing access to funds and securities.

Ziegler's BCP addresses the business units and information technology assets necessary to support operations critical to the firm. Ziegler maintains backup facilities which are equipped and designed to sustain its critical operations until it can return to its regular facilities or occupy new facilities. Ziegler's BCP, in addition to the necessary facilities and technology supporting it, are regularly reviewed and adjusted as necessary.

Ziegler's response to business disruptions will be dependent upon whether utilities and the industry exchanges have been affected. In the event of any significant disaster, Ziegler will bring determine the appropriate course of action that will allow for efficient communication to clients and employees.

Ziegler has developed its BCP to ensure that Ziegler can continue to effectively serve its clients, shareholders, and employees. Ziegler may from time to time amend or revise its BCP to support current business needs and developments.