

Infinex Investments, Inc.'s Business Continuity Planning

Infinex Investments, Inc. 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 this information on our business continuity plan.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do - through your Investment Executive at his or her office, you should call our headquarters in Meriden, Connecticut at (203) 599-6000 or go to our main web site at www.infinexgroup.com. If the business disruption is limited to your Investment Executive's local area, you may access your funds and securities and place orders directly through Infinex's Meriden office. In the event the business disruption affects Infinex's Meriden, Connecticut headquarters, we will post a notice on our main website advising you of the status of our operations and providing you with instructions on how to access your funds and securities.

If you cannot access us through any of the means described above, you should contact our clearing firm, Pershing, LLC, at (201) 413-3635 for instructions on how it may process limited trade-related transactions, cash disbursements and security transfers.

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 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. A team of senior Infinex personnel is responsible for evaluating any business disruption and instituting the appropriate course of action.

Our business continuity plan addresses data back up and recovery; mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Infinex and our clearing firm, Pershing, LLC, back up 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 within four hours. 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 an alternative site when needed and expect to recover and resume business within four hours. 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 a twenty-four hour period. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site, www.infinexgroup.com, or our customer contact number, (203) 599-6000, about how to contact us. 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 funds and securities by whatever means available to us.

For more information – If you have questions about our business continuity planning, you can contact us by writing to Infinex Investments, Inc., 538 Preston Avenue, Meriden, Connecticut 06450, or by calling us at (203) 599-6000.