

Carey, Thomas, Hoover & Breault, Inc.
Business Continuity Plan

Carey, Thomas, Hoover & Breault, Inc., (“CTHB”) is a full service brokerage firm and in the light of September 11, 2001’s events, we felt the need to clarify our procedures for our clients. It is our desire to shed a little light on how our firm would handle any type of business interruption and assure you that we have every intention to remain in business and operable.

There are two types of Significant Business Disruptions (“SBD”), internal and external. An example of an “internal” SBD would be a flood, fire or electrical damage to the building where our offices are. This would be an incident that would only affect our firm. Conversely, an “external” SBD can be identified as a natural disaster, terrorist attack or some type of occurrence which would affect a widespread region.

In the case of an internal SBD, CTHB will assess what our capabilities are and if we are able to continue business at the office, we will. Depending on the problem, we could be up and running within 30 minutes to 4 hours. If that is not the case, CTHB has an alternate site, which we will go to and will be able to conduct business via telephone, fax and email. Alternate telephone numbers, fax numbers and email addresses will be posted on the company website at www.cthb.net within 4 hours.

As for an external SBD, CTHB will continue to remain on premises and wait the reopening of the markets and exchanges. We will be able to be reached by telephone, fax, email, and in person at our offices at 8080 East Central, Suite 200 Wichita, KS 67206. Those numbers are:

(316) 634-2222 - telephone

(316) 634-2229 - facsimile

Email is [firstintiallastname@cthb.net](mailto:firstname.lastname@cthb.net)

If as a client, if you are unable to reach us, our clearing firm, Southwest Securities, Inc. will be able to affect an order for you by calling them at (214) 859-1800. As for any direct companies (i.e. mutual funds or annuities) their telephone information is available via the web or on their customer statements.

It is our intention to inform our clients of our capabilities to remain operational in times of trouble, not to alarm them. Mishaps and disaster can happen and CTHB will be here to help you in good times and bad.