

Business Continuity Summary

As part of our ongoing commitment to our clients, this will serve to provide you with an overview regarding the Fortrend Securities, Inc ("Fortrend Securities, Inc") Business Continuity Plan ("BCP").

Business Purpose

On April 7, 2004, the Securities and Exchange Commission approved NASD Rules 3510 and 3520 which require member firms to create and maintain a business continuity plan. A business continuity plan is a plan that will enable the firm to continue its business operations in the event of a significant business interruption.

Business Continuity Components

Fortrend Securities, Inc has evaluated the impact of business interruptions resulting from various events including but not limited to loss of facilities and resources. The BCP was developed by identifying methods to protect and restore critical business processes, records, data and systems to allow customers to transact business. Fortrend Securities, Inc relies on a third party provider for customer records, transactions, custody of funds and securities and operating systems. The third party provider has a business continuity plan with system redundancy and back-up facilities.

The Fortrend Securities, Inc BCP addresses the following key elements:

- Data Back-Up and Recovery
- Identification of Mission Critical Systems
- Financial and Operational Assessments
- Alternate Communications with Customers
- Alternate communications with Employees
- Alternate Physical Location of Employees
- Impact of Critical Business Counter-Parties
- Regulatory Reporting
- Communications with Regulators
- Customers Access to Funds and Securities

Recovery Plan

In the event of a business interruption, Fortrend Securities, Inc has plans in place to address the immediate response to the incident, the management of the situation from the time of the incident until the matter is resolved, and a business unit and information technology recovery plan.

The data recovery plan includes maintenance of redundant real-time system facilities. The staff and workspace recovery plan includes the relocation of critical personnel to alternate sites.

Whatever the event, our BCP is designed to enable the firm to be operational within 24 hours or less assuming that third party providers and industry critical systems are operational.

Updates and Information Requests

The Fortrend Securities, Inc BCP is reviewed and tested at a minimum annually. Modifications and updates are made to incorporate any material business change or regulatory requirement. To obtain a copy of the Fortrend Securities, Inc BCP summary plan, please submit a written request to:

Fortrend Securities, Inc
Attn: Joe Forster
Level 41, 55 Collins Street
Melbourne, VIC 3000

Fortrend Securities, Inc will continue to promptly post modifications and updates to the BCP on the website located at www.fortrend.com.au