

## **American Investors Company Business Continuity Plan**

In accordance with regulations enacted by FINRA, we want to make you aware of our business continuity plan in case of an emergency. While all of us hope nothing of the kind occurs, events of recent years have reminded us of the need to be prepared.

**Contacting Us** – If after a significant business disruption you cannot contact us as you usually do at 925-866-2882, please call our alternative number, 925-577-5559, or go to our website at [www.americaninvestorsco.com](http://www.americaninvestorsco.com). If you have a brokerage account with American Investors Company that is carried with our clearing firm, National Financial Services, LLC, and cannot reach us through either of those methods, you may contact National Financial directly at 800-801-9942 for access to funds and securities, to enter orders and to process transfer transactions. For accounts held directly with mutual fund and insurance companies or with direct participation program sponsors, please contact the appropriate company directly as listed on your most recent account statement.

**Our Business Continuity Plan** – After a significant business disruption we plan to recover quickly, resume business operations, and respond by: safeguarding our employees and property, making a financial and operational assessment, protecting the firm’s books and records and allowing our clients 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 business disruption. Nevertheless, there can be no assurance that services will continue without interruption in certain circumstances, such as a regional blackout, a natural disaster or a terrorist attack.

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

Additionally, our clearing firm, National Financial Services, LLC, has dedicated significant resources to developing a business continuity plan.

**Varying Disruptions** – Significant business disruptions can vary in scope. Significant disruptions may involve our firm only, our entire office building, the business district where we are located, the city where we are located, or our entire region. The severity of the disruption can also vary from minimal to severe. In a disruption involving only our firm or office building, we will transfer our operations to a local site if necessary and expect to recover and resume business within three 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 expect to recover and resume business within 48 hours. In either situation, our plans are designed to ensure that our business will continue to function, that your assets will be secure and accessible, and that you will be able to reach us regardless of the scope of the situation. We have been advised by our clearing firm that its objective is to restore its own operations as quickly as possible and be able to complete transactions and payments. Orders and requests for funds and securities may be delayed during this period. Orders and requests for funds and securities may be further delayed in the event that any stock exchange or market is closed for business.

Please be aware that due to the unpredictability of events, this document provides only general guidance and American Investors Company reserves the right to modify responses to scenarios as necessary, without advance notification, in order to address additional unforeseen situations. Updated plans will be promptly posted on our website, [www.americaninvestorsco.com](http://www.americaninvestorsco.com). Clients may also obtain a copy of the most updated plan by calling 925-866-2882 or writing to:

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