



Business Continuity Plan

Revision Date: October 15, 2009

JonesTrading Institutional Services LLC (“JTIS”), JonesTrading International Limited (“JTIL”), and JonesTrading Canada Inc. (“JTC”), collectively “JonesTrading”, have enacted a Business Continuity Plan (“BCP”) that has successfully supported critical business activities during disruptions of normal business processes resulting from natural and man-made disasters. Rather than attempting to plan for every possible situation that could occur, we have established baseline requirements and strategies to keep our business operating during a variety of emergencies. In addition to having our BCP in place, we conduct regular exercises as necessary, and at least annually, to test strategies and systems.

In order that our BCP remains secure and effective, JonesTrading does not provide the specific details in this notice, but you should be aware that our BCP includes the following: identification of all mission critical systems and system backup and recovery for such systems; a review of financial and operational risks; alternate communications between JonesTrading and its customers; critical business constituent, bank, and counter-party impact; systems and telecommunications accessibility; alternate physical site locations; and regulatory reporting and communication with regulators.

Notification to Customers – If a significant business interruption occurs and you cannot contact us as you usually do, you should call the JonesTrading Customer Business Continuity Information Line at 800.700.6160 or visit www.jonestrading.com. We will post information regarding the business disruption and our progress on the resumption of our business.

Access to Your Funds – For customers of JTIS and JTIL, all customer funds and securities are held by their clearing firm, Pershing LLC (“Pershing”). In the event of a business disruption in which customers are unable to contact JTIS or JTIL, customers should refer to Pershing’s website www.pershing.com or call 201.413.3635 for recorded instructions. If you cannot access the instructions from the website or previously noted telephone number, Pershing may be contacted at 213.624.6100 as an alternate telephone number. For customers of JTC, all customer funds and securities are held by JTC’s clearing firm, Penson Financial Services Canada Inc. (Penson”). In the event of a business disruption in which customers are unable to contact JTC, customers should refer to Penson’s website www.penson.ca or call 888.841.9665.

JonesTrading asserts that, to the best of its knowledge, all of the information contained in this document is accurate, and that JonesTrading has a BCP that meets industry standards and regulatory requirements. In the event of an actual significant business disruption, JonesTrading will make every reasonable effort to enact our BCP as written. However, our BCP is highly dependent upon critical infrastructure and resources that we maintain no control over, including, but not limited to: electricity, telecommunications, water, external exchanges, market utilities, and clearing houses. Furthermore, JonesTrading cannot guarantee that it will be able to fully implement the BCP summarized herein if a significant business disruption results in substantial loss of life.

Our BCP is subject to change, and material changes will be reflected in an updated "Business Continuity Plan" which will be posted on our website www.jonestrading.com. You may obtain a current written copy of this notice by contacting a JonesTrading representative or by visiting our website.