

Dougall & Associates

Business Continuity Plan:

Dougall & Associates has developed a business continuity plan to maintain all Financial, Business, & Data records; Dougall will only be operational if our Clearing Firm & Chicago Stock Exchange are also running at full capacity.

CONTACT:

If there is a disruption in Dougall's business we can be reached at 708-261-8104 or 630-781-1925. These phone numbers can be used in case we are not reached at our Chicago Stock Exchange office located at 440 South LaSalle suite 700 Chicago, IL. 60605.

Our Business Continuity Plan: We will attempt to resume trading only if the Chicago Stock Exchange allows us Remote Access which would allow us to execute orders from our remote desktop at a secure location. Our business continuity plan will allow our customers to execute orders in a normal capacity. Dougall & Associates will operate from remotely based locations using the Key code given to us by the Chicago Stock Exchange. Our Clearing firm Lek Securities can be reached at 212-509-2300. Dougall does not hold customer funds/and or securities.

Various Aspects from severe disruption:

Dougall's ability to trade for its customers is completely based upon the ability of the Chicago Stock Exchange to open. Based on the current location of the Chicago Stock Exchange if a disruption was to occur in Chicago and the Chicago Stock Exchange failed to open we would at that point decide whether to continue business service executing orders with our Clearing firm from our remote location. Dougall remains that if service of the Chicago Stock Exchange is not available we will make the decision for trading based on our ability to execute orders properly for our customers. If at that time the firm decides not to open for business we will post on our website that we are not continuing operation. Dougall will keep our customers our first priority when making a decision on whether to close for operation.

If you have any questions you are encouraged to contact Chad Bluett at 312-663-2670.