



## **Business Continuity Plan**

Thornburg Securities Corporation has developed a Business Continuity strategy on how we respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we have to be flexible in responding to actual events as they occur. With that in mind our plan anticipates two kinds of Significant Business Disruptions (SBDs), internal and external. Internal SBDs affect only our firm's ability to communicate and do business, such as a fire in our building. External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a citywide catastrophe, or a wide-scale regional disruption. Business recovery strategies are varied to make appropriate use of both internal and external capabilities and resources. They include external recovery vendor solutions, interoffice relocation, workload shifts, voice redirection and remote access.

The goal of our Business Continuity Plan is to achieve a high level of confidence, through ongoing use and robust testing, that critical internal and external continuity arrangements are effective and compatible and the rapid recovery of the technology infrastructure and timely resumption of critical operations along with associated data following any disruption (typically 24 to 36 hours).

Our ongoing Business Impact Analysis ensures critical applications and data for each division are identified and adjusted as needed. We have elaborate backup strategies that ensure redundancy of all critical data. Our BCP plan is tested yearly on site with our contracted disaster recovery facility. We continually test critical network backbone devices and data backup sets for redundancy and proper restoration

Our associated financial service providers, Raymond James and Associates, Boston Financial Data Services have each provided us with their Business Continuity Plan. These major national companies have represented to us that they have the capacity to execute their plan. Each plan includes information regarding duplicate data storage and recovery, alternate data processing site(s) and recovery time estimates

If after a SBD you cannot contact us as you usually do, customers invested in Thornburg Mutual Funds should call 800-847-0200 where an automated message will provide information on how to access your account and your funds as well as alternate instructions for purchases and redemptions of mutual fund shares. Thornburg Mutual Fund Customers can also submit letters of instruction or purchase/redemption orders by mailing the request to:

Thornburg Investment Management  
c/o BFDS  
PO Box 219017  
Kansas City, MO 64121-9017

Customers with brokerage accounts held through Raymond James and Associates, should contact the RJA Contact, Jennifer Medina-Summers, at 800-533-9337 x5293 or 505-954-5293. If the RJA Contact is unavailable, please contact our clearing firm, Raymond James and Associates, directly at 800-647-7378 x76599 or [ClientService@RaymondJames.com](mailto:ClientService@RaymondJames.com) to access your account information or your funds and securities and for order entry.

Thornburg Securities Corp.  
119 East Marcy Street  
Santa Fe, New Mexico 87501  
505.984.0200 Tel  
505.992.8681 Fax  
[www.thornburg.com](http://www.thornburg.com)