

Manning & Napier Group of Companies* (“MNGC”) recognizes the many ways our customers and representatives have come to rely on the wide variety of services we provide. We also recognize the reality that unexpected disasters, large-scale or small, can occur that may affect our ability to deliver those services through our normal business operation.

How does MNGC plan to address the possibility of a future significant business disruption?

MNGC maintains a business continuity plan (“Plan”) to respond, reasonably and effectively, to events of varying scope. The Plan covers MNGC’s response to loss of office facilities, loss of telecommunications facilities, and regional disruption.

Loss of office facilities

MNGC would notify staff per the Firm’s *Emergency Communications Phone Tree*. MNGC would secure temporary replacement office space, arrange for the delivery of computer equipment to the temporary replacement facility, arrange for the delivery of essential files to the temporary replacement facility, arrange telecom lines to the temporary replacement facility; switch incoming phones and links to the temporary replacement facility; and notify staff to report to the temporary facility. MNGC would then begin the search for a permanent office facility and begin planning for the facility.

Loss of telecommunications facilities

If all telecommunications, including cellular phones, were unavailable, MNGC would determine the estimated outage time, notify staff, and switch incoming phones and telecom links to our temporary replacement facility.

If cellular phones are still working, MNGC would estimate the outage time, notify staff, switch incoming phones and telecom links to our temporary replacement facility, and establish a communications link with the temporary replacement facility, via cell phones, to take messages for Rochester staff.

Regional Disruption

MNGC would notify staff per the Firm’s *Emergency Communications Phone Tree*. MNGC would secure temporary replacement office space outside of the region, arrange for the delivery of computer equipment to the temporary replacement facility, arrange for the delivery of essential files to the temporary replacement facility, arrange telecom lines to the temporary replacement facility; switch incoming phones and links to the temporary replacement facility; and notify staff to report to the temporary facility. MNGC would then begin the search for a permanent office facility and begin planning for the facility.

How does MNGC plan to respond to events of varying scope?

The Plan defines the critical functions, essential resources, and system requirements for each department. The Plan addresses staff responsibilities, interim office facilities, and assets related to restoring business operations with minimal impact. The Plan is reviewed and maintained on an annual basis to ensure that documented information is current and recovery strategies support our operations.

The Plan is subject to revision. While no contingency plan can eliminate all risk of business disruption, MNGC continually assesses and updates the Plan to mitigate all reasonable risk. Should the Plan be revised, an updated Business Continuity Plan Disclosure Statement will be available on our website at www.manning-napier.com and upon request by calling (800) 551-0224.