

ASSOCIATED INVESTMENT SERVICES, INC.

BUSINESS RESUMPTION PREPAREDNESS (as of March 29, 2023)

Associated Bank is responsible for creating and maintaining business continuity plans for all of its businesses, including Associated Investment Services, Inc. In the event of a business disruption, we have plans designed to allow us to continue operations of critical business functions, such as entering client orders, completing securities transactions, and providing clients access to their cash and securities. We accomplish this in part by:

- Relocating impacted businesses to designated recovery locations.
- Using redundant processing capacity at other locations.
- Designing our technology and systems to support the recovery processes for critical business functions.
- Using business and technology teams that are responsible for activating and managing the recovery process.
- Adopting a communication plan to ensure our employees receive emergency notifications and instructions via a variety of sources, including in-building announcements, telephone contact, toll-free phone numbers and websites.
- Rehearsing our recovery procedures and testing those procedures on a regular basis.

As part of our plans, we have identified the applications that are critical to our business. These applications are to be implemented in separate production and recovery data centers following

our established data backup and recovery requirements. In most cases, recovery times will range from nearly instantaneous to approximately four hours. For some business functions, next-day recovery is projected.

With regard to client assets, nearly all market-traded securities are held in central depositories, such as the Depository Trust and Clearing Company, rather than in physical certificate form. Ownership of the securities is reflected on a book-entry record-keeping basis, with the depositories' participants maintaining on their records the beneficial ownership positions of their customers. This structure is recognized worldwide as providing investors with an unsurpassed level of liquidity and security for the assets they choose to custody with major financial institutions.

We take our commitment to our clients very seriously and participate in various industry-level discussions regarding business continuity planning. Participation in these types of forums increases our ability to proactively recognize and manage business disruption risks and coordinate recovery efforts.

In the event of a disruption, you will be able to receive information about your accounts and instructions on how to gain access to your funds by calling your Financial Advisor or the toll-free number listed on your account statement.

Although we have taken significant steps to develop and implement sound business recovery plans, we cannot guarantee that systems will always be available or recoverable after a disaster or significant business disruption. We, however, believe our planning for such events is robust and consistent with many of the best practices established within the industry. Any material changes to the above information will be available on our website or upon request.