

VERSION 3.0
JULY 12, 2017



BUSINESS CONTINUITY PLAN

BUSINESS CONTINUITY PLAN

By definition, a Business Continuity Plan (BCP) endeavors to ensure that critical services and/or products are continually delivered in the event of potential disasters, categorized as natural, man-made or technological.

At Carillon Tower Advisers, our subsidiaries and affiliated companies, our plan is designed to support all obligations to clients and customers in the event of a disaster. It is intended to comply with obligations pursuant to regulatory rules and requirements as promulgated by various regulatory agencies, including the U.S. Securities and Exchange Commission (SEC) and Financial Industry Regulatory Authority (FINRA).

Each business unit has developed an effective, risk-appropriate solution so that we can quickly resume critical business functions and minimize financial risk. We continue to evaluate our continuity plans and take the necessary actions to ensure the proper resources are available to provide for the recovery and timely resumption of critical business operations to internal business units, third-party business partners and clients. We frequently coordinate with our parent company, Raymond James Financial, Inc. ("RJF"), in certifying we meet all appropriate business continuity requirements and guidelines. At a minimum of once per year the entire plan is reviewed, updated and tested to confirm the plan is comprehensive, adequate and accurate. Our plan is multi-faceted including:

- Data backup and recovery of mission critical systems
- Financial and Operational assessments
- Business Continuity testing
- Alternate staff recovery site testing, including alternate physical locations of employees
- Alternative means of communications with customers, Financial Advisors, employees, third-party vendors and regulators
- Application and infrastructure recovery testing
- Regulatory reporting

Along with the various levels of testing, assessment and recovery, Carillon Tower Advisers maintains multiple facilities across diverse locations supporting general business operations (Sales, Trading, Operations and Accounting). The diversity of corporate localities across geographic locations, allows us to maintain business functions in the event a single area is affected.

Carillon Tower Advisers has a strong business continuity plan that is focused on risk mitigation, customer service and safety of employees. Commitment from all levels of management to maintain a strong Business Continuity strategy is demonstrated through active participation in the planning, regular testing and identification of areas for continued process improvement.

While no contingency plan can eliminate all risk of service interruption, we continually assess and update our plans to mitigate all reasonable risk and resume operations promptly.

We recommend that you review this notice periodically for changes. If you have any questions about our BCP or if you would like to obtain a current written copy of this notice, you can write to us at 880 Carillon Parkway, St. Petersburg, FL 33742, email - [Contact Us](#) or call us at 1.800.521.1195.