



# NORTH STAR

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**Introduction.** North Star Investment Management, Corp. (the “Firm”) has developed a Business Continuity Plan to address how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with the following summary information about our Business Continuity Plan.

**Contacting Us.** If after a significant business disruption, you cannot contact us at our main telephone number, which is 312-580-0900, you should call us at our alternate numbers 866-971-0900. If you cannot reach us through to these numbers, you may call our Branch Office in Highland Park, Illinois, at 847-831-8831. You may also try to contact us through the “Contact” page on our Web site at [www.nsinvest.com](http://www.nsinvest.com).

If you cannot access us through any of these means, you can contact the appropriate custodian, as provided below:

- Mid Atlantic Capital Group (“MACG”). If your account is held through MACG, which clears through National Financial Services (“NFS”), you can contact NFS directly at the NFS Customer Service Line at 800-801-9942 or at 617-563-5977. Or you can contact MACG at 412-391-7077 or 800-693-7800 or through the “Contact Form” available through [www.macg.com](http://www.macg.com).
- Charles Schwab (“Schwab”). If your account is cleared through Schwab, you may call Schwab Alliance at 800-435-4000. Alternatively, you can contact your local Schwab brokerage branch office for assistance. Contact information for brokerage offices is available through [www.schwab.com](http://www.schwab.com).
- Fidelity Investments (“Fidelity”). If your account is cleared through Fidelity, you may contact Fidelity at 800-353-4881 or you may contact a Fidelity representative through the Customer Service page available at [www.fidelity.com](http://www.fidelity.com). You may also contact your local Fidelity investor center for assistance. Investor center contact information is available through [www.fidelity.com](http://www.fidelity.com).

During a business disruption affecting us, the custodian can typically process limited (sell only) trade-related transactions, cash disbursement requests, and security transfer requests.

**Our Business Continuity Plan.** We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the Firm’s books and records, and allowing our customers to transact business. In short, our plan is designed to permit our Firm to resume operations as quickly as possible, given the disruption’s scope and severity. Your orders and requests for funds and securities could be delayed during this period. The Firm reviews its capabilities for resumption of business annually.

**Varying Disruptions.** Business disruptions vary in their scope and severity. The plan addresses the actions the Firm will take in the event a building, city-wide, or regional incident disrupts our business, including relocating technology, records, and operational personnel to alternate facilities. The Firm’s recovery time objective for business resumption is four (4) hours where relocation is unnecessary, one (1) business day where relocation of personnel, records and/or technology is necessary and relocation to a local remote site is feasible, and three (3) business days where relocation outside of the Chicago area is necessary. Recovery objectives may be adversely affected due to the unavailability of external resources and circumstances beyond the Firm’s control. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer’s prompt access to their funds and securities.

**For more information.** If you have questions about our business continuity planning, you can contact us at 312-580-0900.