

## **Federated Investors Business Continuity Plan Summary**

In accordance with Security Industry rules and regulations, the following addresses Federated's plans for operating in the wake of a potential business disruption.

Federated's business continuity program focuses on the *effects* of a business interruption, rather than the *cause*. This allows Federated to be prepared for a wider range of possible threats.

Federated's business continuity program includes:

- ◆ safeguarding employees' lives and Federated property;
- ◆ performing timely financial and operational assessments;
- ◆ moving quickly from assessment to recovery and operational resumption;
- ◆ protecting Federated's data and records; and
- ◆ allowing Federated's customers to transact business.

Consistent with this policy, Federated uses a structured, accepted planning process for business continuity that is appropriate to an institution of its size within the financial services industry. The comprehensive process includes developing, testing, and maintaining business continuity plans for all aspects of the firm's processes. Federated's plans address information technology, staffing, procedural, and event management aspects of business continuity. This effort is managed by a dedicated Corporate Business Continuity team that reports to Federated's Chief Information Officer. Employees within the business units receive training and awareness about their roles in the business continuity process from the Corporate Business Continuity team.

In addition, Federated maintains day-to-day tactical plans including telecommunication and hardware redundancies, multi-site and multi-instance backups and alternate power sources, designed to minimize the impact of certain interruptions. These tactical plans are updated and tested on a yearly basis, at a minimum. Based upon the effects of the event critical processing may be rerouted and/or critical impacted staff may be relocated to another site. Communication with customers, vendors, and employees is a vital aspect of Federated's business continuity program which supports communication from the executive leadership throughout the entire employee population. Emergency employee contact lists are maintained and tested on a yearly basis, at a minimum. Vendor and customer contact information is also maintained and updated as necessary.

Adequate contingency planning is required by Federated from its business partners and critical service providers. Federated evaluates these partners' plans and participates in a variety of business continuity program evaluations and testing with critical service providers. Federated's program is designed to work in conjunction with our business partners' plans to ensure a coordinated response.

Federated has a robust business continuity program that focuses on its customers and shareholders, the safety of its employees, and risk mitigation measures. As necessary, Federated may revise its business continuity program; the most current plan summary is posted on the Federated's website at [FederatedInvestors.com](http://FederatedInvestors.com). Additional inquiries regarding Federated's business continuity program can be addressed to: [CorporateBusinessContinuity@federatedinv.com](mailto:CorporateBusinessContinuity@federatedinv.com).