

Griffon May, Inc.

Form ADV: Part II
Uniform Application for Investment Advisor Registration

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FORM ADV
Uniform Application for Investment Adviser Registration

Part II - Page 1

Name of Investment Adviser: Griffon May, Inc.				
Address: (Number and Street)	(City)	(State)	(Zip Code)	Area Code: Telephone number:
696 McVey Avenue, Suite 201	Lake Oswego	Oregon	97034	(503) 635-8844

**This part of Form ADV gives information about the investment adviser and its business for the use of clients.
The information has not been approved or verified by any governmental authority.**

Table of Contents

<u>Item Number</u>	<u>Item</u>	<u>Page</u>
1	Advisory Services and Fees	2
2	Types of Clients	2
3	Types of Investments	3
4	Methods of Analysis, Sources of Information and Investment Strategies	3
5	Education and Business Standards	4
6	Education and Business Background	4
7	Other Business Activities	4
8	Other Financial Industry Activities or Affiliations	4
9	Participation or Interest in Client Transactions	5
10	Conditions for Managing Accounts	5
11	Review of Accounts	5
12	Investment or Brokerage Discretion	6
13	Additional Compensation	6
14	Balance Sheet	6
	Continuation Sheet	Schedule F
	Balance Sheet, if required	Schedule G

(Schedules A, B, C, D, and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

1. **A. Advisory Services and Fees.** (check the applicable boxes) For each type of service provided, state the approximate % of total advisory billings from that service. (See instructions below.)

Applicant:

<input checked="" type="checkbox"/>	(1) Provides investment supervisory services	<u>100</u> %
<input type="checkbox"/>	(2) Manages investment advisory accounts not involving investment supervisory services	%
<input type="checkbox"/>	(3) Furnishes investment advice through consultations not included in either service described above	%
<input type="checkbox"/>	(4) Issues periodicals about securities by subscription	%
<input type="checkbox"/>	(5) Issues special reports about securities not included in any service described above	%
<input type="checkbox"/>	(6) Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities	%
<input type="checkbox"/>	(7) On more than an occasional basis, furnishes advice to clients on matters not involving securities	%
<input type="checkbox"/>	(8) Provides a timing service	%
<input type="checkbox"/>	(9) Furnishes advice about securities in any manner not described above	%

(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)

B. Does applicant call any of the services it checked above financial planning or some similar term? Yes No

C. Applicant offers investment advisory services for: (check all that apply)

<input checked="" type="checkbox"/>	(1) A percentage of assets under management	<input type="checkbox"/>	(4) Subscription fees
<input type="checkbox"/>	(2) Hourly charges	<input type="checkbox"/>	(5) Commissions
<input type="checkbox"/>	(3) Fixed Fees (not including subscription fees)	<input type="checkbox"/>	(6) Other

D. For each checked box in A above, describe on Schedule F:

- the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee
- applicant's basic fee schedule, how fees are charged and whether its fees are negotiable
- when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date

2. **Types of clients** - Applicant generally provides investment advice to: (check those that apply)

<input checked="" type="checkbox"/>	A. Individuals	<input checked="" type="checkbox"/>	E. Trusts, estates, or charitable organizations
<input type="checkbox"/>	B. Banks or thrift institutions	<input checked="" type="checkbox"/>	F. Corporations or business entities other than those listed above
<input type="checkbox"/>	C. Investment companies	<input type="checkbox"/>	G. Other (describe on Schedule F)
<input checked="" type="checkbox"/>	D. Pension and profit sharing plans		

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

3. Types of Investments. Applicant offers advice on the following: (check those that apply)

- | | | |
|--|-------------------------------------|--|
| <input checked="" type="checkbox"/> A. Equity securities | <input checked="" type="checkbox"/> | H. United States government securities |
| <input checked="" type="checkbox"/> (1) exchange-listed securities | | I. Options contracts on: |
| <input checked="" type="checkbox"/> (2) securities traded over-the-counter | | (1) securities |
| <input checked="" type="checkbox"/> (3) foreign issuers | <input checked="" type="checkbox"/> | (2) commodities |
| | <input type="checkbox"/> | J. Futures contracts on: |
| <input checked="" type="checkbox"/> B. Warrants | | (1) tangibles |
| <input checked="" type="checkbox"/> C. Corporate debt securities (other than commercial paper) | <input type="checkbox"/> | (2) intangibles |
| <input type="checkbox"/> D. Commercial paper | <input type="checkbox"/> | |
| <input checked="" type="checkbox"/> E. Certificates of deposit | | K. Interests in partnerships investing in: |
| <input checked="" type="checkbox"/> F. Municipal securities | <input checked="" type="checkbox"/> | (1) real estate |
| G. Investment company securities: | <input checked="" type="checkbox"/> | (2) oil and gas interests |
| <input type="checkbox"/> (1) variable life insurance | <input type="checkbox"/> | (3) other (explain on Schedule F) |
| <input type="checkbox"/> (2) variable annuities | <input type="checkbox"/> | |
| <input checked="" type="checkbox"/> (3) mutual fund shares | <input type="checkbox"/> | L. Other (explain on Schedule F) |

4. Methods of Analysis, Sources of Information, and Investment Strategies.

A. Applicant's security analysis methods include: (check those that apply)

- | | |
|---|--|
| (1) <input checked="" type="checkbox"/> Charting | (4) <input type="checkbox"/> Cyclical |
| (2) <input checked="" type="checkbox"/> Fundamental | (5) <input type="checkbox"/> Other (explain on Schedule F) |
| (3) <input checked="" type="checkbox"/> Technical | |

B. The main sources of information applicant uses include: (check those that apply)

- | | |
|---|---|
| (1) <input checked="" type="checkbox"/> Financial newspapers and magazines | (5) <input type="checkbox"/> Timing services |
| (2) <input type="checkbox"/> Inspections of corporate activities | (6) <input checked="" type="checkbox"/> Annual reports, prospectuses, filings with the Securities and Exchange Commission |
| (3) <input checked="" type="checkbox"/> Research materials prepared by others | (7) <input checked="" type="checkbox"/> Company press releases |
| (4) <input checked="" type="checkbox"/> Corporate rating services | (8) <input type="checkbox"/> Other (explain on Schedule F) |

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- | | |
|---|---|
| (1) <input checked="" type="checkbox"/> Long term purchases (securities held at least a year) | (5) <input checked="" type="checkbox"/> Margin transactions |
| (2) <input checked="" type="checkbox"/> Short term purchases (securities sold within a year) | (6) <input type="checkbox"/> Option writing, including covered options, uncovered options or spreading strategies |
| (3) <input checked="" type="checkbox"/> Trading (securities sold within 30 days) | (7) <input type="checkbox"/> Other (explain on Schedule F) |
| (4) <input checked="" type="checkbox"/> Short sales | |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

5. Education and Business Standards.

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients? Yes No

(If yes, describe these standards on Schedule F.)

6. Education and Business Background

For:

- each member of the investment committee or group that determines general investment advice to be given to clients, or
- if the applicant has no investment committee or group, each individual who determines general investment advice given to clients (if more than five, respond only for their supervisors)
- each principal executive officer of applicant or each person with similar status or performing similar functions.

On Schedule F, give the:

- name
- formal education after high school
- year of birth
- business background for the preceding five years

7. Other Business Activities. (check those that apply)

- A. Applicant is actively engaged in a business other than giving investment advice.
- B. Applicant sells products or services other than investment advice to clients.
- C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.

(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

8. Other Financial Industry Activities or Affiliations. (check those that apply)

- A. Applicant is registered (or has an application pending) as a securities broker-dealer.
- B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.
- C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:
 - (1) broker-dealer
 - (2) investment company
 - (3) other investment adviser
 - (4) financial planning firm
 - (5) commodity pool operator, commodity trading advisor or futures commission merchant
 - (6) banking or thrift institution
 - (7) accounting firm
 - (8) law firm
 - (9) insurance company or agency
 - (10) pension consultant
 - (11) real estate broker or dealer
 - (12) entity that creates or packages limited partnerships

(For each checked in box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest? Yes No

(If yes, describe on Schedule F the partnerships and what they invest in.)

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

Applicant:
Griffon May, Inc.

SEC File Number:
801-N/A

Date:
04/25/2008

9. Participation or Interest in Client Transactions.
Applicant or a related person: (check those that apply)

- A. As principal, buys securities for itself from or sells securities it owns to any client.
- B. As broker or agent effects securities transactions for compensation for any client.
- C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- E. Buys or sells for itself securities that it also recommends to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

(Describe, on Schedule F, your code of ethics, and state that you will provide a copy of your code of ethics to any client or prospective client upon request.)

10. Conditions for Managing Accounts. Does the applicant provide investment supervisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services *and* impose a minimum dollar value of assets or other conditions for starting or maintaining an account? Yes No

(If yes, describe on Schedule F)

11. Review of Accounts. If applicant provides investment supervisory services, manages investment advisory accounts, or holds itself out as providing financial planning or some similarly termed services:

A. Describe below the reviews and reviewers of the accounts. **For reviews**, include their frequency, different levels, and triggering factors. **For reviewers**, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

See Attached Schedule F

B. Describe below the nature and frequency of regular reports to clients on their accounts.

See Attached Schedule F

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

12. Investment or Brokerage Discretion.

- A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:
- | | | |
|--|-------------------------------------|--------------------------|
| | Yes | No |
| (1) securities to be bought or sold? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| (2) amount of the securities to be bought or sold? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| (3) broker or dealer to be used? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| (4) commission rates paid? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

- B. Does applicant or a related person suggest brokers to clients? Yes No

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. If the value of products, research and services given to the applicant or a related person is a factor, describe:

- the products, research and services
- whether clients may pay commissions higher than those obtainable from other brokers in return for those products and services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for product and research services received.

13. Additional Compensation.

Does the applicant or a related person have any arrangements, oral or in writing, where it:

- | | | |
|---|--------------------------|-------------------------------------|
| A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? | Yes | No |
| | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| B. directly or indirectly compensates any person for client referrals? | Yes | No |
| | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

(For each yes, describe the arrangements on Schedule F.)

14. Balance Sheet. Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

- has custody of client funds or securities; or
- requires prepayment of more than \$500 in fees per client and 6 or more months in advance

Has applicant provided a Schedule G balance sheet? Yes No

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

**Schedule F of
Form ADV
Continuation Sheet for Form ADV Part II**

Applicant:
Griffon May, Inc.

SEC File Number:
801-N/A

Date:
04/25/2008

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Griffon May, Inc.	IRS Empl. Ident. No.:
<p>Part II, Page 2 Item 1D</p>	<p>Advisory Services and Fees. Griffon May, Inc. ("Griffon May" or "the Firm") provides investment advisory services for discretionary accounts to individuals, pension and profit sharing plans, charitable organizations and corporations. Clients receive professional management of assets (stocks, debt securities, and cash equivalents) in accordance with their guidelines, risk profile and investment objectives as determined prior to and during management of their accounts. All account assets are held by Pershing, which also provides record keeping and reporting. Compensation is calculated as a percentage of assets under management, and is charged to the client for the most recent preceding month, as described below. This fee includes both compensation for investment advisory services and any commissions on trades executed within the client's account. The firm's standard fee is .2% to 0.07% per month (which ranges from 2.4% - .8% annually) of assets under management, calculated monthly and billed monthly in advance; all advisory fees are negotiable.</p> <p>Fees are calculated on an incremental basis and are subject to change with 30 days written notice. Notwithstanding the above, certain clients of Griffon May with pre-existing relationships may initially be charged fees which are less than those set out above. With regards to employee related accounts and certain other accounts, the monthly fees may be less or nil.</p> <p>Griffon May maintains a Limited Power of Attorney for all discretionary accounts for the purposes of directing and or otherwise effecting investments on behalf of the managed account, for the direct payment of the firms' fees and or the payment of commissions, custodial fees and or other charges incurred by the managed account.</p> <p>To the extent mutual funds are selected to fill components of the overall investment strategy, the annual advisory fee set forth above does not include the customary fees and expenses associated with investing in mutual funds or other costs of establishing and maintaining an account with mutual funds including Rule 12b-1 fees and expenses. The client is advised that, in addition to the annual advisory fee set forth above, each mutual fund in which assets are invested will incur separate investment advisory fees and other expenses for which Client will bear a proportionate share.</p> <p>Termination: the relationship between the parties may be terminated by either parties written notice. Notwithstanding the above, if the appropriate disclosure statement was not delivered to the client at least 48 hours prior to the client entering into any written or oral advisory contract with this investment adviser, then the client has the right to terminate the relationship, contract without penalty, within five (5) business days after entering into the contract. In the event this agreement is terminated, prepaid fees (if any) shall be prorated to the day of termination and any remaining balance shall be refunded to Client.</p>
<p>Part II, Page 4 Item 6</p>	<p>Education and Business Background.</p> <p>Roger A. May, Year of Birth, 1946 Claremont McKenna Men's College – 2 years 1970 to present – Griffon May, Inc. Director, Chairman, President, and Chief Compliance Officer</p> <p>Richard Graves, Year of Birth, 1947 1972 to present – Griffon May, Inc. Director and Treasurer</p>

**Schedule F of
Form ADV
Continuation Sheet for Form ADV Part II**

Applicant:
Griffon May, Inc.

SEC File Number:
801-N/A

Date:
04/25/2008

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Griffon May, Inc.	IRS Empl. Ident. No.:
	<p>Ramzan Magomedov, Year of Birth, 1969 Saratov Academy of Veterinary Medicine and Biotechnology (Rus. Fed.): D.V.M. 1998 to present – Griffon May, Inc. Vice President</p> <p>Patti Sadowski, Year of Birth, 1954 02/2008 to present – Griffon May, Inc. Secretary</p>
Part 2, Page 5 Item 9E	<p>Participation or Interest in Client Transactions. The Firm's employees may purchase or sell securities that they also recommend to clients. Our policy is for our employees to purchase or sell securities for their personal accounts simultaneously or after they complete planned purchases or sales for their clients (not all Firm clients). We treat employee accounts exactly as clients' accounts and apply trading and allocation methods in the same exact manner.</p> <p>Participation or Interest in Client Transactions - Buys or Sells for Itself Securities that it Also Recommends to Clients. No security may be bought or sold by a principal or employee of Griffon May on any day before Griffon May's clients' accounts have had the opportunity to make such transactions as appropriate on that day. All Griffon May principal and employee trades will be reviewed by the compliance officer in the regular course of reviewing Firm's trading. Principals and employees will not receive a more favorable execution price on a particular trade than those received by Griffon May's investment advisory clients unless the employee trade was executed after the clients had a chance to trade and the price improved by the virtue of normal stock volatility.</p> <p>To prevent conflicts of interest, all employees of Griffon May must comply with the firm's Written Supervisory Procedures, which imposes restrictions on the purchase or sale of securities for their own accounts and the accounts of certain affiliated persons.</p> <p>Griffon May will also maintain quarterly reports on all personal securities transactions, except transactions in investment company securities and/or other exempt transactions. Further, such Written Supervisory Procedures impose certain policies and procedures concerning the misuse of material non-public information that are designed to prevent insider trading by any officer, partner, or associated person of Griffon May.</p> <p>Notwithstanding the above, Griffon May, and/or their officers, directors or employees may purchase for themselves similar or different securities as are purchased or recommended for investment advisory clients of Griffon May, and that different securities or transactions may be affected or recommended for different investment advisory clients of Griffon May.</p> <p>Code of Ethics Griffon May has adopted a Code of Ethics to ensure that securities transactions by the Firms employees are consistent with the Firms fiduciary duty to its clients, ensure that the conduct of the employees is honest and ethical and to ensure compliance with legal requirements and Griffon May's standards of business conduct. The Code requires quarterly reporting of all transactions. A written copy of the Firms Code of Ethics is available to any client or prospect upon request.</p>

**Schedule F of
Form ADV
Continuation Sheet for Form ADV Part II**

Applicant:
Griffon May, Inc.

SEC File Number:
801-N/A

Date:
04/25/2008

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Griffon May, Inc.		IRS Empl. Ident. No.:
Part II, Page 5 Item 11A	<p>Review of Accounts. Each portfolio manager has primary responsibility for those accounts for he or she brings to or manages at Griffon May. In addition, an account may be assigned to an account manager once that account is established within the Company. Account review is performed with the account managers, Roger A. May and Ramzan Magomedov annually and they compare each investment to insure that they are: (i) suitable to the respective client's investment objectives; (ii) meets that client's quality standards; and (iii) to make sure that their investment objectives are still pertinent to the managed account arrangement. More frequent reviews may be triggered by material changes in variables such as the client's individual circumstances or the market economic or political environment. CCO will review a random sampling of accounts on at least a quarterly basis and document it by placing a note in the reviewed account folder with time and date of the review.</p>	
Part II, Page 5 Item 10	<p>Griffon May currently imposes \$500,000.00 minimum limitation on investable assets under management on initiating a new client relationship with the firm. There can be a variation from this rule at the discretion of the Account Manager.</p>	
Part II, Page 5 Item 11B	<p>Reports. Clients receive regular monthly account statements from their custodian, showing all account activity. Account managers are in frequent personal contact with individual clients. The frequency of the contact depends on the specific reporting, risk tolerance and comfort needs of each client. In addition, each client meets individually at least annually with their account managers to discuss account performance, investment objectives, future expectations, any changed circumstances, and other pertinent matters related to the account.</p>	
Part II, Page 6 Item 12A	<p>Investment or Brokerage Discretion. Griffon May will supervise and direct the investments of the client accounts subject to such limitations as the client may impose in writing. Griffon May, as agent and attorney-in-fact with respect to the client's account, without prior consultation with the client, may, (a) direct the purchase, sell, exchange, conversion, and otherwise trade in stocks, bonds and other securities including money market instruments, and (b) direct the amount of securities purchased, sold, exchanged, and otherwise traded, (c) place orders for the execution of such securities transactions with Pershing or other third party broker/dealers, and (d) determine the commission rates paid. Griffon May will allocate brokerage transactions in a manner it believes to be fair and responsible to its clients, and consistent with client objectives.</p> <p>Unless the client instructs Griffon May otherwise, Griffon May will place orders for the execution of transactions through Pershing Advisor Solutions, and while complying with Section 28(e) of the Securities Exchange Act of 1934, may pay a commission on transactions in excess of the amount of commission another broker or dealer would have charged. Commissions paid are generally not higher than those obtainable from other brokers for similar transactions and which Griffon May believes to be in the best interests of its client, taking into consideration in addition to access to and quality of research resources, execution capability, market services, timely response, and other services provided to Griffon May which are expected to enhance the general portfolio management capabilities of Griffon May. Prospective clients are hereby advised that lower fees for comparable services may be available from other sources such as the Internet and deep discount brokerage firms. Griffon May has no obligation to seek the lowest commission cost or charge the lowest advisory fee.</p>	
Proxy Voting	<p>The Firm will not vote proxies on behalf of clients for securities held in their accounts. It is the responsibility of each client to vote proxies (or not) as each client sees fit.</p>	
Trade Allocations	<p>There are generally sufficient volumes of securities to fill all of our customers account needs. In the event that an allocation of shares between or among client accounts becomes necessary, such allocation will be determined based on the randomization and in rare cases when expediency is paramount, on sole discretion of the account manager.</p>	

**Schedule F of
Form ADV
Continuation Sheet for Form ADV Part II**

Applicant:
Griffon May, Inc.

SEC File Number:
801-N/A

Date:
04/25/2008

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Griffon May, Inc.	IRS Empl. Ident. No.:
<p>Summary of Business Continuity Plan</p>	<p>Business Continuity Plan</p> <p>Griffon May has developed a Business Continuity Plan to address how the firm will respond to events that may disrupt its business. Since timing and impact of disasters is unpredictable, the firm will have to be flexible in responding to the events as they occur.</p> <p>Contact Information - If after a significant business disruption the main telephone line is inactive, the emergency number is 800-635-8844. If the emergency line is down, please contact Pershing Advisor Solutions (our Broker/Dealer) 888-860-8648 at or our clearing firm, Pershing at 800-443-4342.</p> <p>This Plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption. The Business Continuity Plan covers data back up and recovery, mission critical systems financial and operational assessments, alternative communications, alternate business locations, bank and counter-party impact, regulatory reporting and the assurance of prompt access to funds and securities for our customers.</p> <p>Varying Disruptions – Significant business disruptions can vary in their scope, such as emergencies affecting only a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to an emergency-ready local site, moving our employees and expecting to recover and resume business within 24 hours. In a disruption affecting our business district, city, or region, we will move appropriate staff to a site outside of the affected area to be able to communicate with Pershing Advisor Solutions our Broker/Dealer and/or Pershing our clearing firm, on behalf of our clients. In either situation, we plan to continue in business, transferring operations to our Broker/dealer or Clearing firm if necessary. If the significant business disruption is so severe that it prevents us from remaining in business, our clearing firm is one of the largest financial institutions in the world, assuring our customer’s prompt access to their funds and securities.</p> <p>If you have questions about the firms Business Continuity Plan, please feel free to contact us.</p>