City National Rochdale (CNR) participates with and relies on a pre-established, corporate wide "Business Continuity Program" (the "Program") of City National Bank (CNB or the “Bank”) for contingency planning and disaster recovery for various scenarios.

The primary objective of the Program is to ensure the continuity of operations in the event of an unplanned business interruption. The program is structured to address a variety of potential outages, related risks, and mitigating actions and controls.

CNB has an Incident Response process that provides for escalation and management of a business event. The CNB Incident Response Team includes internal and external crisis communication planning and management. During an emergency the Bank may activate one or more of its Emergency Operations Centers (EOC). The Incident Response Team will relocate to the specified EOC upon activation until the emergency is over.

CNR has two geographically separate data centers supported by uninterrupted power supplies (UPS) and back-up diesel generators, which are tested regularly. Critical applications are replicated at the Bank’s recovery center. There are designated alternate work area locations to relocate critical operations personnel during an emergency.

Business continuity plans are regularly exercised to demonstrate the CNR’s ability to continue normal operations with our clients, business partners, and internal staff in the event of a business disruption. These exercises, which include recovery of the infrastructure and critical applications, are conducted regularly and no less than once every twelve months. All business continuity plans are maintained on an on-going basis.

As a regulated organization, all components of the Program, as well as the planning and outcome of continuity exercises, are reviewed and validated at least annually by CNB’s Board of Directors, the Audit Committee of the Board, and the OCC (Office of the Comptroller of the Currency).

CNR ensures that its portion of the Program complies with applicable federal securities laws and FINRA rules. The Program is made available to FINRA upon request. CNR will communicate with its regulatory authorities regarding the nature and extent of any significant business disruption as required by applicable law and regulation.

As a participant in the Program, CNR has also diversified its operations and supporting technology services through geographically dispersed locations.

The Program is designed and repeatedly tested to recover from scenarios of varying severity of business disruption, including facilities failures or disruptions to a single building, business district, city or region, telecommunications failures, natural disaster, civil disturbances and other disruptions. In each scenario and to the extent possible, CNR intends to continue its business operations and provide continued services to customers during any event regardless of the size and length of a business disruption.
CNR’s clearing firm (Pershing LLC) maintains a recovery time objective to restore operations within four hours. CNR anticipates, but cannot guarantee, internal system recovery times will vary between a few minutes to up to 48 hours.

Small or short term disruptions will allow CNR to continue to operate from its current location at the City National Rochdale, 400 Park Avenue, New York, NY, 10022. Larger disruptions may require a physical relocation. In the event of business disruption relocation CNR’s mailing address, phone numbers, email addresses and website should remain the same. Any changes to CNR’s contact information will be communicated as promptly as is reasonable under the circumstances.

In the event of a business disruption, clients can contact CNR by calling (212) 702-3500 or (415) 477-2544. Alternative numbers are accessible by dialing (800) 245-9888 or (800) 585-9798. Should a major event take place, additional information will be provided here, on CNR’s website. This statement is available in writing upon request and is subject to change. Updates to this notice will be immediately posted onto CNR.com as well as incorporated into the written statement.