

Business Continuity Plan Summary

Introduction. Ocean Financial Services, LLC (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 are 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 as you usually do at 305-461-6940, you should call us at our Brickell Office location at 305-808-1001.

If you cannot access us through either of these means and you have an account with our clearing firm, Axos Clearing, you may contact Axos Clearing directly at 800-811-3487 or 402-384-6101. Axos Clearing can process liquidation-only transactions, check requests and wire requests directly from customers with proper letters of authorization. Axos will not accept purchase or buy orders. Instructions to Axos Clearing must be in writing and transmitted via postal service as follows:

Axos Clearing LLC
1200 Landmark Center, Suite 800
Omaha, NE 68102-1916

Please note that the number above for Axos Clearing is for business interruption-related issues only and should not be used for any other purposes, such as change of address notices, account transfers, general account inquiries, balance inquiries, and/or market information. For additional information about how to request funds and securities when we cannot be contacted due to a significant business interruption, refer to the information provided by Axos Clearing on its Web site at www.axosclearing.com.

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 tests its capabilities for resumption of business annually.

Varying Disruptions. Business disruptions vary in their scope and severity. The plan outlines 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, six (6) hours where relocation of personnel, records and/or technology is necessary and relocation to a remote site within South Florida is feasible, and eight (8) hours where relocation outside of the South Florida 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 305-461-6940.