

Business Continuity Plan Disclosure Statement

Ocean Park Advisors, LLC and Ocean Park Securities, LLC have developed a Business Continuity Plan describing its response to events that significantly disrupt its business. Since the timing and impact of disasters and disruptions is unpredictable, it will have to be flexible in responding to the actual events as they occur. Keeping this in mind, we are providing you with this information on our business continuity plan.

If after a significant business disruption, you cannot contact us as you usually do at:

5200 West Century Boulevard, Suite 420
Los Angeles, California 90045
Tel: (310) 670-2093
E-mail: cvalentino@oceanpk.com

You should call our alternative number(s) or go to our website:

www.oceanpk.com

We plan to quickly recover and resume business operations and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our clients to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup and recovery, all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical bank and counter-party impact; and assuring our clients of prompt notification if we are unable to continue our business.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, 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 a local site when needed and expect to recover and resume business within 4 - 8 hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within 1 - 2 days.

In either situation, we plan to continue in business, and notify you through our website www.oceanpk.com or our customer emergency number (310) 600-9260 to contact us. If the significant business disruption is so severe that it prevents us from remaining in business we will notify our clients immediately.

Contact Us – If you have questions about our business continuity planning, you can contact us at:

(310) 670-2093
cvalentino@oceanpk.com

OCEANPARK

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