



BCP DISCLOSURE

Pacific Oak Capital Markets, LLC has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at our main office at (949) 627-4908, you can call our alternative numbers.

- Hans Henselman, CEO at (714) 206-7702 or hhenselman@pac-oak.com
- Matthew Mai, CCO at (714) 312-9556 or mmmai@pac-oak.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 and protecting the firm’s books and records. 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 back-up and recovery; all mission critical systems; financial and operational assessments; alternative communications with business affiliates, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact and regulatory reporting.

Varying Disruptions – Significant business disruptions can vary in their scope, such as impacting 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 48 hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the impacted area and recover and resume business within 48 hours.

For more information – If you have questions about our business continuity planning, you can contact us at (949) 627-4908.