



Optivise Advisory Services, LLC

Business Continuity Plan (BCP)

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I. Introduction

This manual records the business continuity plan for Optivise Advisory Services, LLC (“OAS”) that conducts business in equities, fixed income, mutual funds, alternatives, cash equivalents, and advisory business. The purpose of this manual is to document the plans for the recovery of our critical business functions and systems in the event of a business disruption.

II. Emergency Contact Persons

Michael Wallin	mwallin@optiviseria.com	615-319-7939 (M)	alternate email: Michael_wallin32@yahoo.com
Jason Moore	jmoore@optivisehq.com	704-517-7705 (M)	alternate email: Jason.r_moore@yahoo.com
Scott Magoon	smagoon@optivisehq.com	832-578-1330 (M)	alternate email: scott.b.magoon@gmail.com

III. Firm Policy

Our Firm’s policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees’ lives and our property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of our branch’s books and records, and allowing our customers to transact business. In the event we determine we are unable to continue our business operations, we will direct our customers to their custodian(s) for emergency assistance and access to their funds. Our IARs will be informed of the disruption to Home Office Services and our IARs will continue to offer services to their clients by utilizing the Firm’s technology partners and/or their client’s custodian(s).

Each IAR branch will contact the Home Office in the event of an SBD at their location. The IAR and Home Office will assess the branch’s abilities and limitations and implement appropriate temporary measures to prevent disruptions to their clients.

A. Significant Business Disruptions (SBDs)

Our plan anticipates two kinds of SBDs, internal and external. Internal SBDs affect only our Firm’s ability to communicate and conduct business operations (e.g. a fire in our building). External SBDs prevent the operation of the securities markets or several of our IAR branches (e.g. a terrorist attack, a city flood, or a wide-scale regional disruption). Our response to an external SBD relies more heavily on other organizations and systems (e.g. capabilities of our custodial partners).

B. Approval and Execution Authority

Michael Wallin, Managing Member, is responsible for approving OAS’s Business Continuity Plan (“BCP”) plan and for reviewing it annually.

C. Plan Location and Access



Our Firm will maintain copies of our BCP plan, annual reviews conducted, and any changes made to it for inspection. An electronic copy of our BCP plan is located on the Firm's compliance portal and is available at all times to our IARs.

IV. Business Description

Our Firm conducts advisory business in equities, fixed income, mutual funds, alternatives investments, cash equivalents, and advisory business. We accept and enter buy/sell orders and account service request from retail clients and small institutions.

Various custodians perform all clearing functions and hold customer funds and/or securities on our behalf. All transactions requests are sent to these custodians, which executes our orders, compares them, allocates them, and clears and settles them. These custodians also maintain our customers' accounts, can grant customers access to them, and delivers funds and securities.

Custodial Addresses:

TD Ameritrade Institutional

200 S 108th Ave, Omaha, NE 68154
888-530-9135
Service Team: Core East 3

Fidelity Institutional Asset Management

100 Crosby Parkway, KC1G, Covington, KY 41015
800-523-7166
Advisor ID: 80754

Axos

7103 S Revere Pkwy, Centennial, CO 80112
303-705-6196
Service Liaisons Julie Dull

Matrix Trust Company

717 17th Street Suite 1300, Denver, CO 80202



877-610-3822

V. Office Locations

Our office is located at 109 Holiday Court, Suite A6, Franklin, TN 37067.

VI. Alternative Physical Location(s) of Employees

In the event of an SBD (internal or external) all staff are equipped to work from their home. If a staff member due to the SBD is unable to operate from their home, their situation will be reviewed to determine if an alternate work location is available. Based on the nature of the SDB, the Firm may procure temporary workspace, relocate operations to an unaffected branch office, or relocate operations to an unaffected partners office.

VII. Customers' Access to Funds and Securities

Each custodian maintains custody of customers' funds or securities on our behalf. In the event of an internal or external SBD, if telephone service is available, our registered persons will take customer orders or instructions and contact the custodian on their behalf, and if our Web access is available, our Firm will post on our website that customers may access their funds and securities by contacting their respective custodian at the above referenced numbers.

VIII. Data Back-Up and Recovery (Hard Copy and Electronic)

Our branch maintains its primary hard copy and electronic books and records at:
109 Holiday Court, Suite A6
Franklin, TN 37067

All records are backed up and maintained by our custodial partners, Amazon Worldwide Services, Intradyne, Egnyte, LifeArc Plan, Omniscent, Advyzon, and Fusion Capital Management.

In the event of an internal or external SBD that causes the loss of our paper records, we will physically recover electronic versions from our back-up site(s). If our primary site is inoperable, we will move operations to one of our back-up sites or an alternate location. For the loss of electronic records, we will attempt to physically recover loss electronic records from storage media or attempt to electronically recover data from storage devices housed at one of our back-up sites.



IX. Financial and Operational Assessments

A. Operational Risk

In the event of an SBD, we will immediately identify what means will permit us to communicate with our customers, employees, critical business constituents, critical banks, critical counterparties, and regulators. In addition, we will retrieve our key activity records as described in the section above, Data Back-Up and Recovery (Hard Copy and Electronic). If needed, we will direct customers directly to their respective custodian(s).

B. Financial and Credit Risk

In the event of an SBD, we will determine the value and liquidity of our investments and other assets to evaluate our ability to continue to fund our operations and remain in capital compliance. We will contact critical banks to apprise them of our financial status. If we determine that we may be unable to meet our obligations to those counterparties or otherwise continue to fund our operations, we will request additional financing from our bank or other credit sources to fulfill our obligations to our customers and clients. If we cannot remedy a capital deficiency, we will file appropriate notices with our regulators and immediately take the appropriate steps.

X. Mission Critical Systems

“Mission critical systems” are those that ensure prompt and accurate processing of securities transactions, including order taking, entry, execution, comparison, allocation, clearance and settlement of securities transactions, the maintenance of customer accounts, access to customer accounts and the delivery of funds and securities.

We have primary responsibility for establishing and maintaining our business relationships with our customers and have sole responsibility for our mission critical functions of order taking, entry, and execution. Our custodians provide the execution, comparison, allocation, clearance and settlement of securities transactions, maintenance of customer accounts, access to customer accounts and the delivery of funds and securities.

A. Our Branch’s Mission Critical Systems



Order Taking and Entry

In general, the Home Office does not receive trade orders from clients, these orders are received and processed at the IAR level. During an SDB we will continue to accept orders that are given to us. We will inform our customers when communications become available to inform them of proper procedures to follow for submitting orders to us. If customers are unable to reach either the Home Office or the IAR branch to place trades, they can contact their custodian(s) directly to place orders.

Order Execution

Custodians executes orders on our behalf. Each custodian has implemented and tested a business continuity plan that is appropriate for their operations.

XI. Alternate Communications between the Firm and Customers, Employees, and Regulators

A. Customers

We currently communicate with our customers using telephone, email, Internet applications, company website, fax, U.S. mail, and in-person visits at our office or another location. In the event of an SDB, we will assess which means of communication are still available to us and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party. For example, if we have communicated with a party by email but the Internet is unavailable, we will call them on the telephone and follow up where a record is needed with paper copy in the U.S. mail.

We will use whatever means of communication available to us including email, phone, company website or updating our voicemail to instruct our clients to contact their custodian(s) client line if we will be unable to transact business for them due to power or network outages.

B. Employees

We now communicate with our employees using telephone, email, Internet applications, and in person. In the event of an SDB, we will assess which means of communication are still available to us and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party.



C. Regulators

We communicate with our regulators using telephone, email, fax, U.S. mail, and in person. In the event of an SBD, we will assess which means of communication are still available to us and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party.

XII. Critical Business Constituents, Banks, and Counterparties

A. Business constituents

Critical business constituents are businesses with which we have an ongoing commercial relationship in support of our operating activities such as vendors providing critical services.

We will quickly establish alternative arrangements if a business constituent can no longer provide the needed goods or services when we need them because of an SBD to them or our firm.

Our other critical business constituents are:

Business Constituent	Services Provided:	Alternatives in the event they are unavailable:
Google	Email	Alternate Archiving Email Address
AT&T	Internet	Personal Smart Phones
RingCentral	VOIP Phone	Personal Smart Phones

B. Banks

We have contacted our banks and lenders to determine if they can continue to provide the financing that we will need in-light-of an internal or external SBD. The bank maintaining our operating account is US Bank

If our banks and other lenders are unable to provide the financing, we will seek alternative financing immediately from qualified lending services.



XIII. Regulatory Reporting

We are subject to regulation by the SEC. We now file reports with our regulators using paper copies in the U.S. mail and electronically using fax, email, and the Internet. In the event of a SBD, we will check with the SEC and other regulators to determine which means of filing are still available to us and use the means closest in speed and form (written or oral) to our previous filing method. In the event we cannot contact our regulators, we will continue to file required reports using the communication means available to us.

XIV. Disclosure of Business Continuity Plan

The Firm's BCP is available to all IARs via OAS's compliance portal and is available to our other business constituents upon request.

XV. Updates and Annual Review

We will update this plan whenever we have a material change to our operations, structure, business, or location. In addition, our firm will review this BCP annually to modify it for any changes in our operations, structure, business, or location.

XVI. Senior Manager Approval

I have approved this Business Continuity Plan as reasonably designed to enable our Firm to meet its obligations to customers in the event of an SBD.

Signed:

Title: Managing Member

Date:



Conclusion

Please be aware, while we have detailed plans in place, we cannot guarantee that we will be successful in achieving recovery in the times noted above. For example, we may not be able to implement a plan during a disaster as quickly as we expect, or there may be disasters that we have been unable to anticipate and for which we have no plan. Additionally, if parts of our plan are dependent upon third parties, we will have no control over the success or failure of the third party to respond appropriately to the challenges posed at the time of the disaster. Our continuity plans are periodically updated and modified. Updated plan summaries will be made available on our website (www.optiviseria.com) and can be obtained by submitting a written request.

