

Global Financial Services, LLC and GFS Advisors, LLC

Business Continuity Plan – Disclosure Statement

Global Financial Services, LLC and GFS Advisors, LLC (collectively “we” or “the Firm”) have 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 are unpredictable, we will remain flexible in responding to actual events as they occur. With that in mind, we are providing you with this important information on our business continuity plan.

Contacting Us – If after a significant business disruption, you cannot contact us as you usually do at +1 (713) 968-0400 or +1 (800) 778-5525, you should go to our website at www.globalhou.com. If you cannot access the Firm through either of those methods, we ask that you contact our clearing firm, Raymond James at (855) RJ-READY or (855) 757-3239 for instructions on how Raymond James may assist you with liquidating orders, checks, wire requests, or ACAT transfers. If you maintain accounts at Morgan Stanley, you may call their client service center at +1 (888) 454-3965 or +1 (801) 617-9150 (international). If you maintain accounts at Pershing Advisor Solutions, you may contact their client service center at +1 (877) 870-7230.

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 business continuity plan is designed to resume operations as quickly as possible, given the scope and severity of the 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 suppliers, contractors, banks and counter-party impact; regulatory reporting; and assuring our customers prompt access to funds and securities if we are unable to continue our business.

Raymond James (our primary Custody and Clearing Firm) employs a dual-data-center strategy in which critical client data and systems housed at the primary location are replicated at an alternate location, ensuring accessibility. It is Raymond James’ goal to recover from an event requiring a processing switch to the alternate site with minimal disruption to core business functions. In addition, data retention and backup procedures are in place, including tape backup and offsite storage, offering a tertiary layer of data accessibility should the need arise. For [Morgan Stanley’s Business Continuity Plan](#), for [Pershing Advisor Solutions Business Continuity Plan](#).

Varying Disruptions – Significant business disruptions can vary in scope, such as those that only affect our firm, a single building housing our firm, the business district where our firm is located, the city 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 operations to a local site when needed and expect to recover and resume business within several hours. In a disruption affecting our business district, city, or region, we will transfer operations to a site outside of the affected area and recover and resume business within 24 to 48 hours. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our website www.globalhou.com or +1 (713) 968-0400 or +1 (800) 778-5525 how to contact us. 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 funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at (713) 968-0400.