This brochure provides information about the qualifications and business practices of Blue Ocean Global Wealth, LLC. If you have any questions about the contents of this brochure, please contact us at 301-502-5306. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about Blue Ocean Global Wealth, LLC is available on the SEC's website at www.adviserinfo.sec.gov.

Blue Ocean Global Wealth, LLC is a registered investment adviser. Registration with the United States Securities and Exchange Commission or any state securities authority does not imply a certain level of skill or training.
Item 2 Summary of Material Changes

Form ADV Part 2 requires registered investment advisers to amend their brochure when information becomes materially inaccurate. If there are any material changes to an adviser's disclosure brochure, the adviser is required to notify you and provide you with a description of the material changes.

Since the filing of our last annual updating amendment, dated February 26, 2018, we have made the following disclosures to our Brochure:

Marguerita Cheng is the Chief Compliance Officer.

Item 4- Advisory Business
Blue Ocean Global Wealth, LLC is a registered investment adviser in Gaithersburg, Maryland. Marguerita M. Cheng is the Chief Compliance Officer.

We offer the following investment advisory services: Portfolio Management Services, Financial Planning Services, Educational Seminars and Workshops, and General Consulting Services.

We no longer offer the services of a separate account portfolio manager (or sub-adviser) or pension consulting services.

We are a portfolio manager to and sponsor of a wrap fee program, which is a type of investment program that provides clients with access to several money managers or mutual fund asset allocation models for a single fee that includes administrative fees, management fees, and commissions.

Item 5- Fees and Compensation
We send concurrent fee notice of (1) the fee to the custodian and (2) an itemized fee invoice to you showing the amount of the fee, (3) the value of the assets on which the fee is based, and (4) the specific manner in which the fee was calculated.

Clients who only require brokerage services (and not advisory services) will be referred to Private Client Services, LLC. In that event, such clients would not be considered Clients of Blue Ocean Global Wealth, LLC and we would not be providing any advisory services to them unless they were to engage us separately for stand-alone financial planning or financial consulting. Nevertheless, in their capacity as registered representatives of Private Client Services, LLC, these persons could receive commission-based compensation in connection with the purchase and sale of securities, including 12b-1 fees for the sale of investment company products if any transactions were executed through Private Client Services, LLC. Compensation earned by these persons in their capacities as registered representatives are separate from our advisory fees. This practice presents a conflict of interest because persons providing investment advice on behalf of our firm who are registered representatives have an incentive to refer you to Private Client Services, LLC for the purpose of generating commissions rather than solely based on your needs. You are under no obligation, contractually or otherwise, to purchase securities products through any person affiliated with our firm or use such broker-dealer as we may recommend.

Financial Planning
We charge a fixed fee for financial planning services, which ranges between $750 to $10,000. The fee is negotiable depending upon the complexity and scope of the plan, your financial situation, and your objectives.
Educational Seminars and Workshops
Our compensation arrangements for educational seminars and workshops is negotiable on a case by case basis and ranges from reimbursement of expenses for non-profit organizations up to a maximum of $25,000. Our fees are negotiable depending upon the complexity and scope of the services rendered.

General Consulting Services
We are compensated by organizations who seek our opinion as an expert witness and intellectual capital. We receive hourly compensation between $200 and $350 for such engagements. Our fees are negotiable depending upon the complexity and scope of the services rendered.

Item 7 - Types of Clients
We offer investment advisory services to individuals, including high net worth individuals, charitable organizations and companies.

Item 10 - Other Financial Industry Activities and Affiliations
Sameer Somal and Marguerita Cheng are freelance financial writers. In this capacity, we write articles for organizations regarding general financial topics.

Item 13 - Review of Accounts
Marguerita M. Cheng, Chief Compliance Officer, will review your financial plans annually and will monitor your accounts on a periodic basis to ensure the advisory services provided to you and that the portfolio mix is consistent with your stated investment needs and objectives.
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Item 4 Advisory Business

Description of Services and Fees
Blue Ocean Global Wealth, LLC is a registered investment adviser in Gaithersburg, Maryland. We are organized as a limited liability company under the laws of the State of Delaware. We have been providing investment advisory services since 2013. Sameer Singh Somal and Marguerita Maria Cheng, Chief Compliance Officer, are both principal owners. Currently, we offer the following investment advisory services, which are personalized to each individual client:

- Portfolio Management Services
- Financial Planning Services
- Educational Seminars and Workshops
- General Consulting Services

Please refer to the description of each investment advisory service listed below for information on how we tailor our advisory services to your individual needs. As used in this brochure, the words "we", "our" and "us" refer to Blue Ocean Global Wealth, LLC and the words "you", "your" and "client" refer to you as either a client or prospective client of our firm. Also, you may see the term Associated Person throughout this Brochure. As used in this Brochure, our Associated Persons are our firm's officers, employees, and all individuals providing investment advice on behalf of our firm.

Portfolio Management Services
We offer discretionary and non-discretionary portfolio management services. Our investment advice is tailored to meet our clients' needs and investment objectives. If you retain our firm for portfolio management services, we will meet with you to determine your investment objectives, risk tolerance, and other relevant information at the beginning of our advisory relationship. We will use the information we gather to develop a strategy that enables our firm to give you continuous and focused investment advice and/or to make decisions on your behalf. As part of our portfolio management services, we will customize a portfolio for you according to your risk tolerance and investment objectives. We may also invest your assets using a predetermined strategy, or we may invest your assets according to one or more model portfolios developed by our firm. Once we construct an investment portfolio for you, or select a model portfolio, we will monitor your portfolio's performance on an ongoing basis, and will re-balance the portfolio as required by changes in market conditions and in your financial circumstances.

If you participate in our discretionary portfolio management services, we require you to grant our firm discretionary authority to manage your account. Discretionary authorization will allow us to determine the specific securities, and the amount of securities, to be purchased or sold for your account without your approval prior to each transaction. Discretionary authority is granted by the investment advisory agreement you sign with our firm and the appropriate trading authorization forms. You may limit our discretionary authority (for example, limiting the types of securities that can be purchased or sold for your account) by providing our firm with your restrictions and guidelines in writing. If you enter into non-discretionary arrangements with our firm, we must obtain your approval prior to executing any transactions on behalf of your account.

In order to manage your portfolio according to your needs, we must first prepare a written Financial Plan. Consequently, prior to engaging us for Portfolio Management services, we require that you engage Blue Ocean Global Wealth to prepare a Financial Plan.
Financial Planning Services
We offer financial planning services which involve providing a variety of advisory services to clients regarding the management of their financial resources based upon an analysis of their individual needs. These services can range from broad, comprehensive, financial planning to consultative or single issue planning. If you retain our firm for financial planning services, we will meet with you to gather information about your financial circumstances and objectives. We will also use financial planning software to determine your current financial position and to define and quantify your long-term goals and objectives. Once we specify those long-term objectives (both financial and non-financial), we will develop shorter-term, targeted objectives. Once we review and analyze the information you provide to our firm and the data derived from our financial planning software, we will deliver a written plan to you, designed to help you achieve your stated financial goals and objectives.

Financial plans are based on your financial situation at the time we present the plan to you, and on the financial information you provide to us. You must promptly notify our firm if your financial situation, goals, objectives, or needs change.

You are under no obligation to act on our financial planning recommendations. Should you choose to act on any of our recommendations, you are not obligated to implement the financial plan through any of our other investment advisory services. Moreover, you may act on our recommendations by placing securities transactions with any brokerage firm.

Educational Seminars and Workshops
We offer educational programs and workshops on various topics, including but not limited to Succession Planning, Business Retirement Planning, and Diversity, to allied professionals. Where appropriate, programs are approved for Continuing Education (CE) credit with the CFP Board.

General Consulting Services
We are compensated by organizations who seek our opinion and intellectual capital. General Consulting services primarily involve advising clients on specific financial-related topics. The topics we address may include, but are not limited to, risk assessment/management, investment planning, financial organization, or financial decision making/negotiation.

Wrap Fee Program(s)
We are a portfolio manager to and sponsor of a wrap fee program, which is a type of investment program that provides clients with access to several money managers or mutual fund asset allocation models for a single fee that includes administrative fees, management fees, and commissions. When you participate in our wrap fee program, you will pay our firm a single fee, which includes our money management fees, certain transaction costs, and custodial and administrative costs. We receive a portion of the wrap fee for our services. The overall cost you will incur if you participate in our wrap fee program may be higher or lower than you might incur by separately purchasing the types of securities available in the program.

Transactions for your account must be executed by Pershing Advisor Solutions, LLC, a securities broker-dealer and a member of the Financial Industry Regulatory Authority and the Securities Investor Protection Corporation. Assets will be custodied at Pershing Advisor Solutions, LLC. To compare the cost of the wrap fee program with non-wrap fee portfolio management services, you should consider the frequency of trading activity associated with our investment strategies and the brokerage commissions charged by Pershing Advisor Solutions, LLC or other broker-dealers, and the advisory fees charged by investment advisers. For more information concerning the Wrap Fee Program, please see Appendix 1 to this Brochure.
Types of Investments
We primarily offer advice on equity securities, corporate debt securities, certificates of deposit, municipal securities, as well as investment company securities such as mutual funds and exchange traded funds (ETFs).

Additionally, we may advise you on any type of investment that we deem appropriate based on your stated goals and objectives. We may also provide advice on any type of investment held in your portfolio at the inception of our advisory relationship.

You may request that we refrain from investing in particular securities or certain types of securities. You must provide these restrictions to our firm in writing.

Assets Under Management
As of January 7, 2019, we provide continuous management services for $12,173,838 in client assets on a non-discretionary basis.

Item 5 Fees and Compensation

Portfolio Management Services
Our maximum fee for portfolio management services is based on a percentage of your assets we manage and is set forth in the following fee schedule:

<table>
<thead>
<tr>
<th>Assets Under Management</th>
<th>Maximum Annual Fee</th>
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</thead>
<tbody>
<tr>
<td>$0 - $499,999</td>
<td>1.75%</td>
</tr>
<tr>
<td>$500,000 - $999,999</td>
<td>1.50%</td>
</tr>
<tr>
<td>$1,000,000 - $2,999,999</td>
<td>1.25%</td>
</tr>
<tr>
<td>$3,000,000 - $4,999,999</td>
<td>1.00%</td>
</tr>
<tr>
<td>$5,000,000 - $9,999,999</td>
<td>0.85%</td>
</tr>
<tr>
<td>$10,000,000 - $24,999,999</td>
<td>0.70%</td>
</tr>
<tr>
<td>$25,000,000 &amp; Above</td>
<td>Negotiable</td>
</tr>
</tbody>
</table>

Existing Clients may be billed under a different fee schedule.

Our annual portfolio management fee is billed and payable monthly in arrears based on the value of your account on the last day of the month. Depending on the arrangements made at the time of the engagement, some clients may be charged monthly in advance based on the value of the account on the last day or the prior month.

If the portfolio management agreement is executed at any time other than the first day of a calendar month, our fees will apply on a pro rata basis, which means that the advisory fee is payable in proportion to the number of days in the month for which you are a client. Our advisory fee is negotiable, depending on individual client circumstances.

We combine the account values of family members living in the same household to determine the applicable advisory fee. For example, we will combine account values for you and your minor children, joint accounts with your spouse, and other types of related accounts. Combining account values will increase the asset total, which may result in your paying a reduced advisory fee based on the available breakpoints in our fee schedule stated above.
We will deduct our fee directly from your account through the qualified custodian holding your funds and securities. We will deduct our advisory fee only when the following requirements are met:

- You provide our firm with written authorization permitting the fees to be paid directly from your account held by the qualified custodian.
- We send concurrent fee notice of (1) the fee to the custodian and (2) an itemized fee invoice to you showing the amount of the fee, (3) the value of the assets on which the fee is based, and (4) the specific manner in which the fee was calculated.
- The qualified custodian agrees to send you a statement, at least quarterly, indicating all amounts dispersed from your account including the amount of the advisory fee paid directly to our firm.

You may terminate the portfolio management agreement upon 30-days' written notice to our firm. You will incur a pro rata charge for services rendered prior to the termination of the portfolio management agreement, which means you will incur advisory fees only in proportion to the number of days in the month for which you are a client. For those clients charged in advance, upon termination of the engagement we will provide a pro rata refund of any unearned fees that were paid in advance.

We encourage you to reconcile our invoices with the statement(s) you receive from the qualified custodian. If you find any inconsistent information between our invoice and the statement(s) you receive from the qualified custodian please call our main office number located on the cover page of this brochure.

Financial Planning Services
We charge a fixed fee for financial planning services, which ranges between $750 to $10,000. The fee is negotiable depending upon the complexity and scope of the plan, your financial situation, and your objectives. We require that you pay the full Financial Planning fee in advance. However, depending on the arrangements made at the time of the engagement, we may in our sole discretion agree to accept 50% of the fee in advance with the remaining portion due upon completion of the services rendered. We will not require prepayment of a fee more than six months in advance and in excess of $500. Should the engagement last longer than six months between acceptance of financial planning agreement and delivery of the financial plan, any prepaid unearned fees will be promptly returned to you less a pro rata charge for bona fide financial planning services rendered to date.

You may terminate the financial planning agreement by providing written notice to our firm. If you have pre-paid advisory fees that we have not yet earned, you will receive a full refund of those fees; otherwise you will incur a pro rata charge for services rendered prior to termination.

Educational Seminars and Workshops
Our compensation arrangements for educational seminars and workshops is negotiable on a case by case basis and ranges from reimbursement of expenses for non-profit organizations up to a maximum of $25,000. Our fees are negotiable depending upon the complexity and scope of the services rendered. Depending on the arrangements made at the time of the engagement, we may agree to bill in arrears or require some, or all of the fee in advance. When fees for educational seminars or other speaking engagements are received in advance and the engagement is canceled or terminated prior to the date of the seminar, we will refund all prepaid fees less any non-refundable costs that we may have incurred such as non-refundable airfare. When Blue Ocean Global Wealth partners with other organizations to deliver seminars, webinars and CE education presentations, we may receive compensation for such services. Webinars or webcasts refer to electronic delivery of educational programs.
General Consulting Services
We are compensated by organizations who seek our opinion as an expert witness and intellectual capital. We receive hourly compensation between $200 - $350 for such engagements. Our fees are negotiable depending upon the complexity and scope of the services rendered. These engagements are typically billed in arrears. You may terminate the advisory consulting services agreement upon written notice to our firm. Since fees are payable in arrears, you will be responsible for a prorated fee based on services performed.

Additional Fees and Expenses
As part of our investment advisory services to you, we may invest, or recommend that you invest, in mutual funds and exchange traded funds. The fees that you pay to our firm for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds or exchange traded funds (described in each fund’s prospectus) to their shareholders. These fees will generally include a management fee and other fund expenses. To fully understand the total cost you will incur, you should review all the fees charged by mutual funds, exchange traded funds, our firm, and others. For information on our brokerage practices, please refer to the Brokerage Practices section of this brochure. You are under no obligation, contractually or otherwise, to purchase securities products through any person affiliated with our firm.

Compensation for the Sale of Securities or Other Investment Products
Persons providing investment advice on behalf of our firm are registered representatives with Private Client Services, LLC a securities broker-dealer, and a member of the Financial Industry Regulatory Authority and the Securities Investor Protection Corporation. However, all transactions for fee based accounts with Blue Ocean Global Wealth, LLC will be executed through Pershing Advisor Solutions, LLC and not through Private Client Services, LLC. Clients who only require brokerage services (and not advisory services) will be referred to Private Client Services, LLC. In that event, such clients would not be considered Clients of Blue Ocean Global Wealth, LLC and we would not be providing any advisory services to them unless they were to engage us separately for stand-alone financial planning or financial consulting. Nevertheless, in their capacity as registered representatives of Private Client Services, LLC, these persons could receive commission-based compensation in connection with the purchase and sale of securities, including 12b-1 fees for the sale of investment company products if any transactions were executed through Private Client Services, LLC. Compensation earned by these persons in their capacities as registered representatives are separate from our advisory fees. This practice presents a conflict of interest because persons providing investment advice on behalf of our firm who are registered representatives have an incentive to refer you to Private Client Services, LLC for the purpose of generating commissions rather than solely based on your needs. You are under no obligation, contractually or otherwise, to purchase securities products through any person affiliated with our firm or use such broker-dealer as we may recommend.

Item 6 Performance-Based Fees and Side-By-Side Management
We do not accept performance-based fees or participate in side-by-side management. Performance-based fees are fees that are based on a share of capital gains or capital appreciation of a client’s account. Side-by-side management refers to the practice of managing accounts that are charged performance-based fees while at the same time managing accounts that are not charged performance-based fees. Our fees are calculated as described in the Fees and Compensation section above, and are not charged on the basis of a share of capital gains upon, or capital appreciation of, the funds in your advisory account.
Item 7 Types of Clients

We offer investment advisory services to individuals, including high net worth individuals, charitable organizations and companies.

We do not require a minimum dollar amount to open and maintain an advisory account; however, we do require clients to engage us to prepare a Financial Plan prior to engaging us for Portfolio Management.

Item 8 Methods of Analysis, Investment Strategies and Risk of Loss

We use one or more of the following methods of analysis or investment strategies when providing investment advice to you:

Fundamental Analysis - involves analyzing individual companies and their industry groups, such as a company's financial statements, details regarding the company's product line, the experience and expertise of the company's management, and the outlook for the company and its industry. The resulting data is used to measure the true value of the company's stock compared to the current market value.

- **Risk:** The risk of fundamental analysis is that information obtained may be incorrect and the analysis may not provide an accurate estimate of earnings, which may be the basis for a stock's value. If securities prices adjust rapidly to new information, utilizing fundamental analysis may not result in favorable performance.

Cyclical Analysis - a type of technical analysis that involves evaluating recurring price patterns and trends. Economic/business cycles may not be predictable and may have many fluctuations between long term expansions and contractions.

- **Risk:** The lengths of economic cycles may be difficult to predict with accuracy and therefore the risk of cyclical analysis is the difficulty in predicting economic trends and consequently the changing value of securities that would be affected by these changing trends.

Long-Term Purchases - securities purchased with the expectation that the value of those securities will grow over a relatively long period of time, generally greater than one year.

- **Risk:** Using a long-term purchase strategy generally assumes the financial markets will go up in the long-term which may not be the case. There is also the risk that the segment of the market that you are invested in or perhaps just your particular investment will go down over time even if the overall financial markets advance. Purchasing investments long-term may create an opportunity cost - "locking-up" assets that may be better utilized in the short-term in other investments.

Option Writing - a securities transaction that involves selling an option. An option is the right, but not the obligation, to buy or sell a particular security at a specified price before the expiration date of the option. When an investor sells an option, he or she must deliver the buyer a specified number of shares if the buyer exercises the option. The seller pays the buyer a premium (the market price of the option at a particular time) in exchange for writing the option.

- **Risk:** Options are complex investments and can be very risky, especially if the investor does not own the underlying stock. In certain situations, an investor's risk can be unlimited. For more information on options, see below.
Our investment strategies and advice varies depending upon each client’s specific financial situation. As such, we determine investments and allocations based upon your predetermined objectives, risk tolerance, time horizon, financial horizon, financial information, liquidity needs, and other various suitability factors. Your restrictions and guidelines affect the composition of your portfolio.

We may use short-term trading as an investment strategy when managing your account(s). Short-term trading is not a fundamental part of our overall investment strategy, but we may use it occasionally when we determine that it is suitable given your stated investment objectives and tolerance for risk. Short-term trading generally involves selling securities within 30 days of purchasing them. This type of trading may include buying and selling securities frequently in an effort to capture significant market gains and avoid significant losses. However, there is a risk that frequent trading can negatively affect investment performance, particularly through increased brokerage and other transactional costs and taxes.

**Tax Considerations**

Our strategies and investments have unique and significant tax implications. However, unless we specifically agree otherwise, and in writing, tax efficiency is not our primary consideration in the management of your assets. Regardless of your account size or any other factors, we strongly recommend that you consult with a tax professional regarding the investing of your assets.

**Risk of Loss**

Investing in securities involves risk of loss that you should be prepared to bear. We do not represent or guarantee that our services or methods of analysis can or will predict future results, successfully identify market tops or bottoms, or insulate clients from losses due to market corrections or declines. We cannot offer any guarantees or promises that your financial goals and objectives will be met. Past performance is in no way an indication of future performance.

**Recommendation of Particular Types of Securities**

As disclosed under the Advisory Business section in this brochure, we primarily recommend equity securities, corporate debt securities, certificates of deposit, municipal securities, as well as investment company securities such as mutual funds and exchange traded funds (ETFs). Each type of security has its own unique set of risks associated with it and it would not be possible to list here all of the specific risks of every type of investment. Even within the same type of investment, risks can vary widely. However, in very general terms, the higher the anticipated return of an investment, the higher the risk of loss associated with that investment.

**Stocks:** There are numerous ways of measuring the risk of equity securities (also known simply as “equities” or “stock”). In very broad terms, the value of a stock depends on the financial health of the company issuing it. However, stock prices can be affected by many other factors including, but not limited to: the class of stock (for example, preferred or common); the health of the market sector of the issuing company; and, the overall health of the economy. In general, larger, more well established companies (“large cap”) tend to be safer than smaller start-up companies (“small cap”) but the mere size of an issuer is not, by itself, an indicator of the safety of the investment.

**Bonds:** Corporate debt securities (or “bonds”) are typically safer investments than equity securities, but their risk can also vary widely based on: the financial health of the issuer; the risk that the issuer might default; when the bond is set to mature; and, whether or not the bond can be “called” prior to maturity. When a bond is called, it may not be possible to replace it with a bond of equal character paying the same rate of return.
Certificates of Deposit: Certificates of deposit are generally the safest type of investment since they are insured by the federal government up to a certain amount. However, because the returns are generally very low, it's possible for inflation to out-pace the return. Likewise, US Government securities are backed by the full faith and credit of the United States government but it's also possible for the rate of inflation to exceed the returns.

Municipal Securities: Municipal securities, while generally thought of as safe, can have significant risks associated with them including, but not limited to: the credit worthiness of the governmental entity that issues the bond; the stability of the revenue stream that is used to pay the interest to the bondholders; when the bond is due to mature; and, whether or not the bond can be "called" prior to maturity. When a bond is called, it may not be possible to replace it with a bond of equal character paying the same amount of interest or yield to maturity.

Mutual Funds and ETFs: Mutual funds and exchange traded funds (ETFs) are professionally managed collective investment systems that pool money from many investors and invest in stocks, bonds, short-term money market instruments, other mutual funds, other securities or any combination thereof. The fund will have a manager that trades the fund's investments in accordance with the fund's investment objective. While mutual funds and ETFs generally provide diversification, risks can be significantly increased if the fund is concentrated in a particular sector of the market, primarily invests in small cap or speculative companies, uses leverage (i.e., borrows money) to a significant degree, or concentrates in a particular type of security (i.e., equities) rather than balancing the fund with different types of securities. Exchange traded funds differ from mutual funds since they can be bought and sold throughout the day like stock and their price can fluctuate throughout the day. The returns on mutual funds and ETFs can be reduced by the costs to manage the funds. Also, while some mutual funds are "no load" and charge no fee to buy into, or sell out of, the fund, other types of mutual funds do charge such fees which can also reduce returns. Mutual funds can also be "closed end" or "open end". So-called "open end" mutual funds continue to allow in new investors indefinitely whereas "closed end" funds have a fixed number of shares to sell which can limit their availability to new investors.

Options and Warrants: Options are complex securities that involve risks and are not suitable for everyone. Option trading can be speculative in nature and carry substantial risk of loss. It is generally recommended that you only invest in options with risk capital. An option is a contract that gives the buyer the right, but not the obligation, to buy or sell an underlying asset at a specific price on or before a certain date (the "expiration date"). The main difference between warrants and call options is that warrants are issued and guaranteed by the issuing company, whereas options are traded on an exchange and are not issued by the company. Also, the lifetime of a warrant is often measured in years, while the lifetime of a typical option is measured in months. The two types of options are calls and puts:

A call gives the holder the right to buy an asset at a certain price within a specific period of time. Calls are similar to having a long position on a stock. Buyers of calls hope that the stock will increase substantially before the option expires.

A put gives the holder the right to sell an asset at a certain price within a specific period of time. Puts are very similar to having a short position on a stock. Buyers of puts hope that the price of the stock will fall before the option expires.

Selling options is more complicated and can be even riskier.

The option trading risks pertaining to options buyers are:

• Risk of losing your entire investment in a relatively short period of time.
• The risk of losing your entire investment increases if, as expiration nears, the stock is below the
strike price of the call (for a call option) or if the stock is higher than the strike price of the put
(for a put option).
• European style options which do not have secondary markets on which to sell the options prior
to expiration can only realize its value upon expiration.
• Specific exercise provisions of a specific option contract may create risks.
• Regulatory agencies may impose exercise restrictions, which stops you from realizing value.

The option trading risks pertaining to options sellers are:
• Options sold may be exercised at any time before expiration.
• Covered Call traders forgo the right to profit when the underlying stock rises above the strike
price of the call options sold and continues to risk a loss due to a decline in the underlying
stock.
• Writers of Naked Calls risk unlimited losses if the underlying stock rises.
• Writers of Naked Puts risk unlimited losses if the underlying stock drops.
• Writers of naked positions run margin risks if the position goes into significant losses. Such
risks may include liquidation by the broker.
• Writers of call options can lose more money than a short seller of that stock on the same rise on
that underlying stock. This is an example of how the leverage in options can work against the
option trader.
• Writers of Naked Calls are obligated to deliver shares of the underlying stock if those call
options are exercised.
• Call options can be exercised outside of market hours such that effective remedy actions
cannot be performed by the writer of those options.
• Writers of stock options are obligated under the options that they sold even if a trading market
is not available or that they are unable to perform a closing transaction.
• The value of the underlying stock may surge or ditch unexpectedly, leading to automatic
exercises.

Other option trading risks are:
• The complexity of some option strategies is a significant risk on its own.
• Option trading exchanges or markets and option contracts themselves are open to changes at
all times.
• Options markets have the right to halt the trading of any options, thus preventing investors from
realizing value.
• Risk of erroneous reporting of exercise value.
• If an options brokerage firm goes insolvent, investors trading through that firm may be affected.
• Internationally traded options have special risks due to timing across borders.

Risks that are not specific to options trading include: market risk, sector risk and individual stock risk.
Option trading risks are closely related to stock risks as stock options are a derivative of stocks.

Item 9 Disciplinary Information

We are required to disclose the facts of any legal or disciplinary events that are material to a client's
evaluation of our advisory business or the integrity of our management. We do not have any required
disclosures under this item.
Item 10 Other Financial Industry Activities and Affiliations

We have not provided information on other financial industry activities and affiliations because we do not have any relationship or arrangement that is material to our advisory business or to our clients with any of the types of entities listed below.

1. broker-dealer, municipal securities dealer, or government securities dealer or broker.
2. investment company or other pooled investment vehicle (including a mutual fund, closed-end investment company, unit investment trust, private investment company or "hedge fund," and offshore fund).
3. other investment adviser or financial planner.
4. futures commission merchant, commodity pool operator, or commodity trading advisor.
5. banking or thrift institution.
6. accountant or accounting firm.
7. lawyer or law firm.
8. insurance company or agency.
9. pension consultant.
10. real estate broker or dealer.
11. sponsor or syndicator of limited partnerships.

Blue Ocean Global Technology
Blue Ocean Global Technology is a Delaware Limited Liability Corporation and strategic partner of Blue Ocean Global Wealth. Marguerita Cheng and Sameer Somal are shareholders and officers of Blue Ocean Global Technology. This business is not investment related. Blue Ocean Global Technology will provide software development, web design and database infrastructure, among other technology solutions. Clients may be referred from Blue Ocean Global Wealth to Blue Ocean Global Technology for web design, software, and other technology (non-investment related) services. In appropriate circumstances, clients of Blue Ocean Global Technology may be asked to consider hiring Blue Ocean Global Wealth for investment management and financial planning.

Advisor Succession Planning and Transition Referral Fee Disclosure
Blue Ocean Global Wealth may receive compensation from advisory consulting, mergers and acquisition, broker-dealer, and/or registered investment advisory ("RIA") companies for referring investment advisor representatives that transition from a broker-dealer to an RIA, or from one RIA to another. The compensation we receive is as a result of our introductions and/or education. Compensation may be paid as a flat fee, percentage of assets, or percentage of revenue generated by the transitioning financial advisor. Payors may distribute referral fees to Blue Ocean Global Wealth at the time of transition or in periodic installments. No Blue Ocean Global Wealth clients will be affected by this relationship and, therefore, no conflict of interest exists.

Freelance Writing
Sameer Somal and Marguerita Cheng are freelance financial writers. In this capacity, we write articles for organizations regarding general financial topics. We spend approximately 5 hours per month in this capacity and receive compensation from the organizations that we write for on a per project basis. The services provided by Mr. Somal and Ms. Cheng are separate and distinct from any advisory services provided by Blue Ocean Global Wealth, LLC. Our freelance writing responsibilities do not create a conflict of interest to our provision of advisory services through Blue Ocean Global Wealth, LLC.
Item 11 Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Description of Our Code of Ethics
We strive to comply with applicable laws and regulations governing our practices. Therefore, our Code of Ethics includes guidelines for professional standards of conduct for persons associated with our firm. Our goal is to protect your interests at all times and to demonstrate our commitment to our fiduciary duties of honesty, good faith, and fair dealing with you. All persons associated with our firm are expected to adhere strictly to these guidelines. Our Code of Ethics also requires that certain persons associated with our firm submit reports of their personal account holdings and transactions to a qualified representative of our firm who will review these reports on a periodic basis. Persons associated with our firm are also required to report any violations of our Code of Ethics. Additionally, we maintain and enforce written policies reasonably designed to prevent the misuse or dissemination of material, non-public information about you or your account holdings by persons associated with our firm.

Clients or prospective clients may obtain a copy of our Code of Ethics by contacting us at the telephone number on the cover page of this brochure.

Participation or Interest in Client Transactions
Our firm and persons associated with our firm may have material financial interest in client transactions beyond the provision of investment advisory services as disclosed in this brochure since we buy or sell securities for the firm including related securities that we also recommend to advisory clients.

Personal Trading Practices
Our firm or persons associated with our firm may buy or sell the same securities that we recommend to you or securities in which you are already invested. A conflict of interest exists in such cases because we have the ability to trade ahead of you and potentially receive more favorable prices than you will receive. To mitigate this conflict of interest, it is our policy that neither our firm nor persons associated with our firm shall have priority over your account in the purchase or sale of securities.

Item 12 Brokerage Practices
We recommend the brokerage and custodial services of Pershing Advisor Solutions, LLC, a securities broker-dealer and a member of the Financial Industry Regulatory Authority and the Securities Investor Protection Corporation. We believe that Pershing Advisor Solutions, LLC provides quality execution services for you at competitive prices. Price is not the sole factor we consider in evaluating best execution. We also consider the quality of the brokerage services provided by Pershing Advisor Solutions, LLC, including the value of the firm's reputation, execution capabilities, commission rates, and responsiveness to our clients and our firm. In recognition of the value of the services Pershing Advisor Solutions, LLC provides, you may pay higher commissions and/or trading costs than those that may be available elsewhere.

Research and Other Soft Dollar Benefits
In selecting or recommending a broker-dealer, we will consider the value of research and additional brokerage products and services a broker-dealer has provided or will provide to our clients and our firm. Receipt of these additional brokerage products and services are considered to have been paid for with "soft dollars." Because such services could be considered to provide a benefit to our firm, we have a conflict of interest in directing your brokerage business. We may have an incentive to select or recommend a broker-dealer based on your interest in receiving the research or other products or services, rather than on your client' interest in receiving most favorable execution.
Products and services that we may receive from broker-dealers may consist of research data and analyses, financial publications, recommendations, or other information about particular companies and industries (through research reports and otherwise), and other products or services (e.g., software and data bases) that provide lawful and appropriate assistance to our firm in the performance of our investment decision-making responsibilities. Consistent with applicable rules, brokerage products and services consist primarily of computer services and software that permit our firm to effect securities transactions and perform functions incidental to transaction execution. We use such products and services in our general investment decision making, not just for those accounts for which commissions may be considered to have been used to pay for the products or services.

The test for determining whether a service, product or benefit obtained from or at the expense of a broker constitutes "research" under this definition is whether the service, product or benefit assists our firm in investment decision-making for discretionary client accounts. Services, products or benefits that do not assist in investment decision-making for discretionary client accounts do not qualify as "research." Also, services, products or benefits that are used in part for investment decision-making for discretionary client accounts and in part for other purposes (such as accounting, corporate administration, recordkeeping, performance attribution analysis, client reporting, or investment decision-making for the firm's own investment accounts) constitute "research" only to the extent that they are used in investment decision-making for discretionary client accounts.

Before placing orders with a particular broker-dealer, we determine that the commissions to be paid are reasonable in relation to the value of all the brokerage and research products and services provided by that broker-dealer. In some cases, the commissions charged by a particular broker for a particular transaction or set of transactions may be greater than the amounts charged by another broker-dealer that did not provide research services or products.

We do not exclude a broker-dealer from receiving business simply because the broker-dealer does not provide our firm with soft dollar research products and services. However, we may not be willing to pay the same commission to such broker-dealer as we would have paid had the broker-dealer provided such products and services.

The products and services we receive from broker-dealers will generally be used in servicing all of our clients' accounts. Our use of these products and services will not be limited to the accounts that paid commissions to the broker-dealer for such products and services. In addition, we may not allocate soft dollar benefits to your accounts proportionately to the soft dollar credits the accounts generate. As part of our fiduciary duties to you, we endeavor at all times to put your interests first. You should be aware that the receipt of economic benefits by our firm is considered to create a conflict of interest.

We have instituted certain procedures governing soft dollar relationships including preparation of a brokerage allocation budget, mandated reporting of soft dollar irregularities, annual evaluation of soft dollar relationships, and an annual review of our brochure to ensure adequate disclosures of conflicts of interest regarding our soft dollar relationships.

**Brokerage for Client Referrals**

We do not receive client referrals from broker-dealers in exchange for cash or other compensation, such as brokerage services or research.

**Directed Brokerage**

Persons providing investment advice on behalf of our firm who are registered representatives of Private Client Services, LLC will recommend Private Client Services, LLC to you for brokerage services. These individuals are subject to applicable rules that restrict them from conducting securities
transactions away from Private Client Services, LLC unless Private Client Services, LLC provides the representative with written authorization to do so. Transactions for fee-based accounts will be executed through Pershing Advisor Solutions, LLC as noted above. Please see the Fees and Compensation section in this brochure for more information on the compensation received by registered representatives who are affiliated with our firm.

Block Trades
We combine multiple orders for shares of the same securities purchased for advisory accounts we manage (this practice is commonly referred to as "block trading"). We will then distribute a portion of the shares to participating accounts in a fair and equitable manner. The distribution of the shares purchased is typically proportionate to the size of the account, but it is not based on account performance or the amount or structure of management fees. Subject to our discretion regarding factual and market conditions, when we combine orders, each participating account pays an average price per share for all transactions and pays a proportionate share of all transaction costs. Accounts owned by our firm or persons associated with our firm may participate in block trading with your accounts; however, they will not be given preferential treatment.

Item 13 Review of Accounts

Portfolio Management Account Review
Marguerita M. Cheng, Chief Compliance Officer, will monitor your accounts on a periodic basis and will conduct account reviews at least monthly to ensure the advisory services provided to you and that the portfolio mix is consistent with your stated investment needs and objectives. Additional reviews may be conducted based on various circumstances, including, but not limited to:

- contributions and withdrawals,
- year-end tax planning,
- market moving events,
- security specific events, and/or,
- changes in your risk/return objectives.

We will not provide you with additional or regular written reports in conjunction with account reviews. However if upon your written request, a report will be provided to include an inventory of your account holdings and a report generated from a third party vendor reflecting account performance. You will receive trade confirmations and monthly or quarterly statements from your account custodian(s).

Financial Plan Review
Marguerita M. Cheng, Chief Compliance Officer, will review your financial plans annually to ensure that the planning advice and/or asset allocation recommendations made to you are consistent with your stated investment needs and objectives. Written updates to the financial plan will be provided in conjunction with the review. Such reviews and updates will be included in our fixed fee.

Item 14 Client Referrals and Other Compensation

We do not directly or indirectly use, employ, or compensate non-employee (outside) consultants, individuals, and/or entities (Solicitors) for client referrals.

Refer to the Brokerage Practices section above for disclosures on research and other benefits we may receive resulting from discount brokers in connection with utilizing their brokerage services.

Beyond the disclosures provided in this Brochure, we do not receive any compensation from any third party in connection with providing investment advice to you.
Item 15 Custody

We do not take custody of your funds or securities. Your funds and securities will be held with a bank, broker-dealer, or other independent, qualified custodian. We may have the authority to deduct our advisory fees from your account, but only if you previously consented to such deduction in writing.

As paying agent for our firm, your independent custodian will directly debit your account(s) for the payment of our advisory fees. This ability to deduct our advisory fees from your accounts causes our firm to exercise limited custody over your funds or securities. We do not have physical custody of any of your funds and/or securities. Your funds and securities will be held with a bank, broker-dealer, or other independent, qualified custodian. You will receive account statements from the independent, qualified custodian(s) holding your funds and securities at least quarterly. The account statements from your custodian(s) will indicate the amount of our advisory fees deducted from your account(s) each billing period. You should carefully review account statements for accuracy. We will also provide statements to you reflecting the amount of advisory fee deducted from your account.

You should compare our statements with the statements from your account custodian(s) to reconcile the information reflected on each statement. If you have a question regarding your account statement, or if you did not receive a statement from your custodian, please contact us directly at the telephone number on the cover page of this brochure.

Item 16 Investment Discretion

Before we can buy or sell securities on your behalf, you must first sign either our discretionary management agreement or non-discretionary management agreement with the appropriate trading authorization forms.

You may grant our firm discretion over the selection and amount of securities to be purchased or sold for your account(s) without obtaining your consent or approval prior to each transaction. You may specify investment objectives, guidelines, and/or impose certain conditions or investment parameters for your account(s). For example, you may specify that the investment in any particular stock or industry should not exceed specified percentages of the value of the portfolio and/or restrictions or prohibitions of transactions in the securities of a specific industry or security. Please refer to the Advisory Business section in this brochure for more information on our discretionary management services.

If you enter into non-discretionary arrangements with our firm, we will obtain your approval prior to the execution of any transactions for your account(s). You have an unrestricted right to decline to implement any advice provided by our firm on a non-discretionary basis.

Item 17 Voting Client Securities

Without exception, we will not vote proxies on behalf of your advisory accounts. At your request, we may offer you advice regarding corporate actions and the exercise of your proxy voting rights. If you own shares of applicable securities, you are responsible for exercising your right to vote as a shareholder.
In most cases, you will receive proxy materials directly from the account custodian. However, in the event we were to receive any written or electronic proxy materials, we would forward them directly to you by mail, unless you have authorized our firm to contact you by electronic mail, in which case, we would forward any electronic solicitation to vote proxies.

**Item 18 Financial Information**

We are not required to provide a balance sheet or other financial information to our clients because we do not require the prepayment of fees in excess of $500 and six months or more in advance; we do not take custody of client funds or securities; and, we do not have a financial condition that is reasonably likely to impair our ability to meet our commitments to you. Moreover, we have never been the subject of a bankruptcy petition.

**Item 19 Requirements for State-Registered Advisers**

Refer to the Part(s) 2B for background information about management personnel and those giving advice on behalf of our firm.

Our firm is not actively engaged in any business other than giving investment advice.

Neither our firm, nor any persons associated with our firm are compensated for advisory services with performance-based fees. Please refer to the *Performance-Based Fees and Side-By-Side Management* section above for additional information on this topic.

Neither our firm, nor any of our management persons have any reportable arbitration claims, civil, self-regulatory organization proceedings or administrative proceedings.

Neither our firm, nor any of our management persons have a material relationship or arrangement with any issuer of securities.

**Item 20 Additional Information**

**Your Privacy**

We view protecting your private information as a top priority. Pursuant to applicable privacy requirements, we have instituted policies and procedures to ensure that we keep your personal information private and secure.

We do not disclose any nonpublic personal information about you to any non affiliated third parties, except as permitted by law. In the course of servicing your account, we may share some information with our service providers, such as transfer agents, custodians, broker-dealers, accountants, consultants, and attorneys.

We restrict internal access to nonpublic personal information about you to employees, who need that information in order to provide products or services to you. We maintain physical and procedural safeguards that comply with regulatory standards to guard your nonpublic personal information and to ensure our integrity and confidentiality. We will not sell information about you or your accounts to anyone. We do not share your information unless it is required to process a transaction, at your request, or required by law.
You will receive a copy of our privacy notice prior to or at the time you sign an advisory agreement with our firm. Thereafter, we will deliver a copy of the current privacy policy notice to you on an annual basis. Please contact our main office at the telephone number on the cover page of this brochure if you have any questions regarding this policy.

**Trade Errors**
In the event a trading error occurs in your account, our policy is to restore your account to the position it should have been in had the trading error not occurred. Depending on the circumstances, corrective actions may include canceling the trade, adjusting an allocation, and/or reimbursing the account.

**Class Action Lawsuits**
We do not determine if securities held by you are the subject of a class action lawsuit. Moreover, we do not determine whether you are eligible to participate in class action settlements or litigation nor do we initiate or participate in litigation to recover damages on your behalf.