



Privacy Policy & Practices of Centaurus Financial, Inc.

Centaurus Financial, Inc. ("Centaurus"), through its network of independent registered representatives, offers a variety of financial products and services to you. We have always valued the trust our customers have placed in us and are committed to the responsible management, use, and protection of all our customers' personal information. We are proud of our privacy and confidentiality practices, and we want you to know how we protect your information.

Gathering Information

We treat the information we gather about you in a confidential manner. Centaurus collects this personal information to help us serve your financial needs, provide customer service, offer new products or services, and fulfill our legal and regulatory obligations and requirements. Centaurus collects nonpublic personal, financial, and health information from information we receive from you. The sources and the information collected may include:

- Information on applications and related forms, such as name, address, social security number, assets, and income (and medical information if applying for insurance)
- Information regarding your transactions with us, such as products or services purchased, account balances, and payment history
- Information from consumer reporting agencies, such as credit relationships
- Information from your employer, association, or benefit plan sponsor, such as name, address, social security number, assets, and income
- Information from third party vendors providing data in order for us to fulfill our regulatory obligations

Sharing Information

Centaurus does not disclose any nonpublic personal information about you to anyone, except as required by law, and we do not sell your personal information to third parties. In the course of servicing your account, however, we may share previously described information about our customers with other unaffiliated service providers, such as our clearing firm, insurance companies, mutual fund companies, banks, or investment firms, to provide account maintenance or customer service to your account.

Safeguarding Privacy

Centaurus maintains physical, electronic, and procedural safeguards regarding your nonpublic personal information to ensure we are complying with our own policy, industry practices, and federal regulations. If you decide to close your account(s) or become an inactive customer, we will continue to adhere to the privacy policies and practices described in this notice.

Questions

If you have any questions after reading this privacy policy, we encourage you to contact your Registered Representative or write to Centaurus Financial, Inc., Attn: Compliance Department, 2300 E. Katella Ave., Suite 200, Anaheim CA, 92806.