

Centaurus Financial, Inc. Business Continuity Plan

Centaurus Financial, Inc. has created a plan on how we will respond to an event that will significantly impact our ability to conduct business. The unpredictability of such an event requires that Centaurus to be flexible in responding and adjusting.

Contacting us - As all our firm's clients are served by their representative located in a remote branch office, they would continue to be the first level of contact. If the business disruption is limited to your representative's local area, you may access your funds and accounts and enter transactions by calling our main office at (800) 880-4234 or (714) 456-1790.

In the event that the business disruption is to our main office, we will post a notice on our website www.centaurusfinancial.com, if available, advising the public of our operational status and providing instructions on how to access our operational staff. If you require assistance with an account held at our clearing firm, Pershing, LLC, they can be called at (800) 443-4342 or (201) 413-3635. The clearing firm will provide you with instructions on how to access your funds or securities and enter orders or process other account related transactions. If your account is held at a mutual fund or annuity company, you should contact them directly for assistance.

Our Business Continuity Plan - Our plan is to resume operations as quickly and as effectively as possible. We have established a team of senior personnel for evaluating the severity of the business disruption and taking the steps necessary to provide our representatives and clients the capability to access their accounts and conduct business. We have addressed all mission critical systems, financial and operational assessments, communications, staffing, supplier and contractor support and alternative site planning if we are unable to conduct business at our home office. All our records as well as those of our clearing firm are backed up and kept in a geographically separate location. Our clearing firm and Centaurus have established a four-hour timeframe in case of a minor disruption and a 24-hour timeframe for a significant disruption in which to restore operational capability.

A disruption could vary significantly in severity so we will continually evaluate, best determine and communicate the estimate of recovery time. A disruption could be to your representative's location, our firm, the building housing our firm, the immediate area or even the city or region. Regardless of the scope of the disruption, we will at all times be most concerned about assuring our customers and representatives prompt access to their funds and securities.

Disclaimers – As discussed above the severity of a business disruption could impact a particular location so as it make it inoperable for an extended period of time and could affect the firm's recovery in significant and different ways. Therefore, Centaurus Financial, Inc. cannot guarantee it's computer systems, personnel or service performance or that of it's clearing firm will be able to recover within the time frames stated. If you have any questions regarding this plan, please write us at 2300 East Katella Ave., Suite 200, Anaheim, California 92806 or call 714-456-1790.