

Business Continuity Plan

Centaurus Financial, Inc. • 2300 E. Katella Ave., Ste. 200 • Anaheim, CA 92806 • P: (800) 880-4234



Centaurus Financial, Inc. is committed to providing timely service to our clients in the event of a business disruption. We recognize the importance of preparing for various disaster scenarios that could challenge our ability to provide the services expected by our clients. We have taken a comprehensive approach to provide for business contingency and continuity planning under a variety of potential scenarios. We continue to evaluate our continuity plans and take the necessary actions to ensure the proper resources are available to provide for the recovery and timely resumption of critical business operations to internal business units, third-party business partners and clients. The unpredictability of such an event requires that Centaurus be flexible in responding and adjusting to the challenge. Some very important highlights of the plan and specific contact information are below.

I. Our Business Continuity Plan

Our plan is to resume operations as quickly and effectively as possible. We have established a team of Executives who are responsible for evaluating the severity of the business disruption and taking the steps necessary to provide our Registered/Investment Adviser Representatives (“Representative”) and clients the capability to access their accounts/information and conduct business. We have addressed all Mission Critical Systems, financial and operational assessments, communications, staffing, supplier and contractor support and alternative site planning, in the event we are unable to conduct business at our Home Office/Headquarters. All of our critical records, as well as those of our clearing firms, are backed up on redundant servers located in geographically separate locations. Centaurus and our clearing firms have established a four-hour timeframe (in the case of a minor disruption) and a 24-hour timeframe (in the case of a significant disruption) in which to restore operational capabilities. A disruption could vary significantly in severity. As such, we will continually evaluate, determine and communicate the estimated time of recovery, if possible, or whether we cannot meet our goal. A disruption could be to your Representative’s location, the Firm, the building housing the Firm, the immediate area, the city or region, or possibly even a global disruption. Regardless of the scope of the disruption, our Plan is designed to ensure our clients and Representatives prompt access to their funds and/or securities.

In the event of a significant business disruption resulting from a reduction in work force due to a pandemic situation, Centaurus has developed a Pandemic Response Plan to maintain business continuity and essential functionality. The Plan involves social distancing, and other measures, if necessary, to avoid close physical proximity in the workplace, invoking swing or alternating shifts, and may require suspension of some noncritical functions.

II. Contacting Us

As all clients are primarily served by their respective Representatives who are located in a branch office physically remote from the Firm’s Home Office/Headquarters, the Representative would continue to be the first point of contact in the event of any business disruption. If the business disruption is limited to the local area of your Representative, as is always the case, you may access your funds, accounts, information and enter transactions by calling the Centaurus Home Office/Headquarters at (800) 880-4234 or (714) 456-1790.

In the event that the business disruption is within our Home Office/Headquarters, we will post a notice on our website at 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 directly at our clearing firms, please use the following contact information:

Pershing, LLC. : (888) 367-2563

Charles Schwab & Co. Inc.: (800) 435-4000

The clearing firm will provide you with instructions on how to access your funds and/or securities, enter orders or process other account-related transactions. If your account is held directly at an investment issuer/sponsor, mutual fund, or insurance/annuity company, you should contact them directly for assistance. Please check your respective statement for contact information.

III. Disclaimers

As discussed above, the severity of a business disruption could impact a specific location so as to make it inoperable for an extended period of time and could affect the Firm’s recovery in significant/different ways. Therefore, Centaurus Financial, Inc. does not guarantee or provide any warranties, express or implied, as to its computer systems, services, personnel or service performance, or that any of its clearing firms will be able to recover within the stated time frames. If you have any questions regarding this plan, please write us at Centaurus Financial, Inc., Attention: General Counsel’s Office, 2300 East Katella Ave., Suite 200, Anaheim, California 92806, or call (714) 456-1790.

IV. Updates and Annual Review

The Firm will update this plan whenever there is a material change to operations, structure, business or location or to those of the Clearing/Custodial/Execution Firms. In addition, the Firm will review this BCP annually, on or about September 1, to modify it for any changes in operations, structure, business, or location or those of the Clearing/Custodial/Execution Firms.