

Aurus Advisors Inc.
Privacy and Preparedness Notice

This Notice is provided on behalf of Aurus Advisors Inc. and its registered representatives (collectively "AAI").

We recognize our obligation to keep information about you secure and confidential. It's important for you to know that we do not sell your information to anyone. We restrict access to non-public information about you to those representatives and employees who need to know that information to provide services to you. We also maintain physical, electronic and procedural safeguards to guard your non-public information.

We collect information about you from our discussions with you, from publicly available sources and from documents that you may deliver to us in the course of our providing services to you. We may use this information to provide financial advisory or agency services for you. In order to do so, we may provide your information to firms that assist us in providing services to you and have a need for such information, as permitted by law. We may also disclose such information to FINRA, the Securities and Exchange Commission, the State of California and other states or regulatory agencies that oversee our activities.

If you prefer that we not disclose non-public information about you to non-affiliated third parties (other than those disclosures required by law), you may opt out of those disclosures (that is, you may direct us not to make those disclosures). If you wish to opt out of disclosures to non-affiliated third parties, you may contact us at 650-401-5700.

If the firm or any of its representatives terminate their relationship with one another, information that has been disclosed by one to the other may be retained by both of them if they have so agreed as a part of a transfer of such portion of the business as was previously handled by the representative.

Anti-Money Laundering Procedures

To help the government fight the funding of terrorism and money laundering activities, Federal law requires us to obtain, verify and record information that identifies each person to whom we provide financial services. This means that when you begin doing business with us, we will ask for information that will allow us to identify you. We may also request documentation concerning the legal formation of your organization.

Preparedness/Business Continuity Plan

AAI has developed a Business Continuity Plan describing how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur.

If after a significant business disruption you cannot contact us as you usually do, you should call our alternative number: 530-333-4810.

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 permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

We are grateful for your business. Please call us at 650-401-5700 if you have any questions or concerns.