

**AUORA SECURITIES, INC.**  
**BUSINESS CONTINUITY DISCLOSURE STATEMENT**

Aurora Securities is providing you with this document to inform you of its ability to respond to certain business disruptions at your Financial Advisor's office or at the main office of Aurora.

Continued business operations are critical, and Aurora Securities has developed a business continuity plan to address significant business disruptions.

We have identified these critical business operations to include:

1. Completing securities transactions
2. Providing client access to cash and securities and
3. Protecting the books and records of the firm.

Our Business Continuity Plan addresses these functions by:

- ❖ Providing for relocation to an off-site recovery location
- ❖ Designate key persons as having the authority to activate the Plan
- ❖ Maintaining a backup site to provide redundancy protection of critical records and manage the recovery effort
- ❖ Reviewing and testing the Business Continuity Plan.

Client assets are held with the respective custodian (e.g mutual fund family or annuity provider). In the event communication with Aurora Securities is not restored or available, clients contact the custodian directly as indicated on their periodic account statements to access cash or securities