

## BrokerCheck Report

### DANA MATTHEW HAWKINS

CRD# 5731136

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

**DANA M. HAWKINS**

CRD# 5731136

**Currently employed by and registered with the following Firm(s):**

- B** **CENTAURUS FINANCIAL, INC.**  
 4580 SUNSET BLVD.  
 LEXINGTON, SC 29072  
 CRD# 30833  
 Registered with this firm since: 05/19/2015

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is registered with:**

- 1 Self-Regulatory Organization
- 9 U.S. states and territories

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

**Registration History****This broker was previously registered with the following securities firm(s):**

- B** **J.P. TURNER & COMPANY, L.L.C.**  
 CRD# 43177  
 LEXINGTON, SC  
 03/2011 - 06/2015

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Customer Dispute	12



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 9 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **CENTAURUS FINANCIAL, INC.**

Main Office Address: **2300 E. KATELLA AVENUE  
SUITE #200  
ANAHEIM, CA 92806**

Firm CRD#: **30833**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	APPROVED	05/19/2015

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alabama	Agent	APPROVED	01/09/2017
<b>B</b> Arizona	Agent	APPROVED	01/03/2019
<b>B</b> Florida	Agent	APPROVED	01/03/2017
<b>B</b> Georgia	Agent	APPROVED	05/19/2015
<b>B</b> Iowa	Agent	APPROVED	01/04/2019
<b>B</b> North Carolina	Agent	APPROVED	05/19/2015
<b>B</b> South Carolina	Agent	APPROVED	05/19/2015
<b>B</b> Tennessee	Agent	APPROVED	04/19/2016
<b>B</b> Virginia	Agent	APPROVED	10/29/2018

### Branch Office Locations

**CENTAURUS FINANCIAL, INC.**

## Broker Qualifications



### Employment 1 of 1, continued

4580 SUNSET BLVD.  
LEXINGTON, SC 29072

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## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	03/12/2011

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/23/2011

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 03/2011 - 06/2015	J.P. TURNER & COMPANY, L.L.C.	43177	LEXINGTON, SC

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
05/2015 - Present	CENTAURUS FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	ANAHEIM, CA, United States
10/2009 - 05/2015	J P TURNER & COMPANY LLC	BROKER TRAINEE	N	LEXINGTON, SC, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1. COLA WEALTH ADVISORS, NON-INVESTMENT RELATED, 4580 SUNSET BLVD., LEXINGTON, SC 29072, DBA FOR MARKETING AND BRANDING PURPOSES ONLY, REGISTERED REPRESENTATIVE, SINCE 7/15/2019. 2. MANTEI & ASSOCIATES, NON-INVESTMENT RELATED, 4580 SUNSET BLVD., LEXINGTON, SC 29072, FOR BRANDING AND ADMINISTRATIVE PURPOSES INCLUDING, BUT NOT LIMITED TO THE PROCESSING OF BUSINESS EXPENSES, PAYROLL AND BENEFITS, EMPLOYEE, SINCE 10/19/2009, DEVOTED TIME IS 50 HOURS A MONTH.





## Disclosure Events

### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	12	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

#### Disclosure 1 of 11

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	JP Turner and Centaurus Financial, Inc.
<b>Allegations:</b>	Customer alleges that the financial advisor recommended unsuitable investments and breached his fiduciary duty beginning in 2010 through 2019.
<b>Product Type:</b>	Debt-Corporate Real Estate Security
<b>Alleged Damages:</b>	\$100,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	19-01504
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	05/31/2019

### Customer Complaint Information

**Date Complaint Received:** 06/20/2019



<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	09/21/2020
<b>Settlement Amount:</b>	\$82,500.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	I vehemently deny any wrongdoing and assert that the customer allegations are completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.

#### Disclosure 2 of 11

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	J.P. Turner and Company aka Cetera Financial Group and Centaurus Financial, Inc.
<b>Allegations:</b>	During the period 2012 through April 2020, customer alleges that the Registered Representative misrepresented unsuitable investments and breached his fiduciary duty.
<b>Product Type:</b>	CD Debt-Corporate Real Estate Security
<b>Alleged Damages:</b>	\$100,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	20-01073



**Filing date of arbitration/CFTC reparation or civil litigation:** 04/02/2020

### Customer Complaint Information

**Date Complaint Received:** 04/06/2020

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/21/2021

**Settlement Amount:** \$11,250.00

**Individual Contribution Amount:** \$0.00

#### Broker Statement

I had no direct or indirect relationship or contact with the claimant. I vehemently deny any wrongdoing and assert that the customer's allegations are completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.

### Disclosure 3 of 11

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** J.P. Turner and Company aka Cetera Financial Group and Centaurus Financial, Inc.

**Allegations:** During the period 2011 through January 2018, the customer alleges that the Registered Representative misrepresented unsuitable investments and breached his fiduciary duty.

**Product Type:** Debt-Corporate  
Real Estate Security

**Alleged Damages:** \$171,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes



**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 20-00616

**Filing date of arbitration/CFTC reparation or civil litigation:** 02/20/2020

### Customer Complaint Information

**Date Complaint Received:** 02/26/2020

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/02/2021

**Settlement Amount:** \$42,500.00

**Individual Contribution Amount:** \$0.00

#### Broker Statement

I vehemently denied any wrongdoing and assert that the customer's allegations were completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.

### Disclosure 4 of 11

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** J.P. Turner and Company aka Cetera Financial Group and Centaurus Financial, Inc.

**Allegations:** During the period of approximately 2011 through February 2020, the customers allege that the Registered Representative invested their account(s) in unsuitable investments and breached his fiduciary duty.

**Product Type:** CD  
Debt-Corporate

**Alleged Damages:** \$100,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No



**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 20-00415

**Filing date of arbitration/CFTC reparation or civil litigation:** 02/05/2020

### Customer Complaint Information

**Date Complaint Received:** 02/12/2020

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/28/2021

**Settlement Amount:** \$33,500.00

**Individual Contribution Amount:** \$0.00

#### Broker Statement

I vehemently deny any wrongdoing and assert that the customer's allegations are completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer, my broker/dealer unilaterally and without my agreement, settled with the customer's, to which I made no monetary contribution.

### Disclosure 5 of 11

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** J.P. Turner and Company aka Cetera Financial Group and Centaurus Financial, Inc.

**Allegations:** During the period 2010 through June 2018, the customer alleges that the Registered Representative misrepresented unsuitable investments.

**Product Type:** CD  
Debt-Corporate  
Real Estate Security

**Alleged Damages:** \$100,000.00



**Is this an oral complaint?** No  
**Is this a written complaint?** No  
**Is this an arbitration/CFTC reparation or civil litigation?** Yes  
**Arbitration/Reparation forum or court name and location:** FINRA  
**Docket/Case #:** 19-03012  
**Filing date of arbitration/CFTC reparation or civil litigation:** 10/21/2019

### Customer Complaint Information

**Date Complaint Received:** 10/24/2019  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 11/30/2020  
**Settlement Amount:** \$14,750.00  
**Individual Contribution Amount:** \$0.00

#### Broker Statement

I vehemently deny any wrongdoing and assert that the customer's allegations are completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.

### Disclosure 6 of 11

**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** J.P. Turner and Company aka Cetera Financial Group and Centaurus Financial, Inc.  
**Allegations:** The customers allege that the Registered Representative facilitated, misrepresented unsuitable investments, and breached his fiduciary duty. No dates of alleged activity were disclosed in the Statement of Claim.  
**Product Type:** CD



Debt-Corporate  
Real Estate Security

**Alleged Damages:** \$100,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC  
reparation or civil litigation?** Yes

**Arbitration/Reparation forum  
or court name and location:** FINRA

**Docket/Case #:** 19-02632

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 09/03/2019

### Customer Complaint Information

**Date Complaint Received:** 09/09/2019

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/08/2021

**Settlement Amount:** \$55,000.00

**Individual Contribution  
Amount:** \$0.00

**Broker Statement** I vehemently deny any wrongdoing and assert that the customer's allegations are completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer'S, my broker/dealer unilaterally and without my agreement, settled with the customer'S, to which I made no monetary contribution.

### Disclosure 7 of 11

**Reporting Source:** Broker

**Employing firm when  
activities occurred which led  
to the complaint:** J.P. Turner and Company aka Cetera Financial Group and Centaurus Financial, Inc.





<b>Allegations:</b>	During the period 2014 through 2019, the customers allege that the Registered Representative facilitated, misrepresented unsuitable investments, and breached his fiduciary duty.
<b>Product Type:</b>	CD Debt-Corporate
<b>Alleged Damages:</b>	\$100,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	19-02725
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	09/12/2019

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/16/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	02/05/2021
<b>Settlement Amount:</b>	\$7,500.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	I vehemently deny any wrongdoing and assert that the customer's allegations are completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer's, my broker/dealer unilaterally and without my agreement, settled with the customer's, to which I made no monetary contribution.

### Disclosure 8 of 11

**Reporting Source:** Broker



<b>Employing firm when activities occurred which led to the complaint:</b>	JP Turner and Centaurus Financial, Inc.
<b>Allegations:</b>	The customers allege that the Registered Representative invested in unsuitable, complex, high-risk, speculative and illiquid investments and breached his fiduciary duty. No dates of alleged activity were disclosed in the Statement of Claim.
<b>Product Type:</b>	CD Debt-Corporate Real Estate Security
<b>Alleged Damages:</b>	\$50,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	19-02208
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	08/09/2019

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/14/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	11/03/2020
<b>Settlement Amount:</b>	\$8,000.00
<b>Individual Contribution Amount:</b>	\$0.00

**Broker Statement**

I vehemently deny any wrongdoing and assert that the customer's allegations are completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.



## Disclosure 9 of 11

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	JP Turner & Co. and Centaurus Financial, Inc.
<b>Allegations:</b>	Customer primarily alleges that the financial advisor recommended unsuitable investments and several other allegations associated therewith from late 2013 to early 2019.
<b>Product Type:</b>	CD Debt-Corporate Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$253,757.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	\$178,757.17 + \$75,000
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

## Customer Complaint Information

<b>Date Complaint Received:</b>	02/19/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	08/09/2019
<b>Settlement Amount:</b>	\$12,000.00
<b>Individual Contribution Amount:</b>	\$0.00

<b>Broker Statement</b>	I vehemently deny any wrongdoing and assert that the allegations are completely without merit. The investments about which she complained were suitable and were recommended based on the customer's objectives, goals and financial circumstances and were offered only after the customer's review of all material documentation related to the investment. The customer confirmed in writing that she not only received the requisite investment documentation/disclosures, but that
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she fully understood the characteristics and risks of the investments. At all times, I put the customer's interest first. Notwithstanding, in an effort to avoid potentially unproductive and expensive interaction with the customer, and more so, in an effort to help the customer, my broker/dealer settled with the customer to which my contribution was \$0.

#### Disclosure 10 of 11

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	J.P Turner and Centaurus Financial, Inc.
<b>Allegations:</b>	Customer primarily alleges that the financial advisor recommended unsuitable investments and several other allegations associated therewith.
<b>Product Type:</b>	Debt-Corporate Real Estate Security
<b>Alleged Damages:</b>	\$336,130.00
<b>Arbitration Information</b>	
<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	18-04082
<b>Date Notice/Process Served:</b>	12/13/2018
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	11/06/2020
<b>Monetary Compensation Amount:</b>	\$60,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	I vehemently deny any wrongdoing and assert that the customer's allegations are completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.



### Disclosure 11 of 11

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	Centaurus Financial, Inc.
<b>Allegations:</b>	Customers allege their investments were inappropriate and unsuitable based on their investment objectives.
<b>Product Type:</b>	CD Debt-Corporate Real Estate Security
<b>Alleged Damages:</b>	\$150,000.00
<b>Arbitration Information</b>	
<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	18-03150
<b>Date Notice/Process Served:</b>	09/12/2018
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	07/06/2021
<b>Monetary Compensation Amount:</b>	\$24,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	I vehemently deny any wrongdoing and assert that the customer's allegations are completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer's, my broker/dealer unilaterally and without my agreement, settled with the customer's, to which I made no monetary contribution.



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	J.P. Turner
<b>Allegations:</b>	Customer primarily alleges that the investment(s) recommended by the financial advisor in 2013 have not performed as expected and as a result the customer allegedly suffered a loss.
<b>Product Type:</b>	Debt-Corporate
<b>Alleged Damages:</b>	\$70,462.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/20/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	11/22/2019
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

**Broker Statement**

I vehemently deny any wrongdoing and assert that the allegations are completely without merit. The customer chose these investments on their own volition after rejecting other investments recommendations that would have performed as expected. Further, the customer has not sustained any loss as they have not sold any of their principal protected investments. The investments about which the customer complained were suitable and were recommended based on the customer's objectives, goals and financial circumstances and were offered only



after their review of all material documentation related to the investment. The customer confirmed in writing that he not only received the requisite investment documentation/disclosures, but that he fully understood the characteristics and risks of the investments. At all times, I put the customer's interest first and I will vigorously defend this matter to the fullest extent of the law.

## End of Report



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