

BrokerCheck Report

ATUL MAKHARIA

CRD# 5070762

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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



For additional information about the contents of this report, please refer to the User Guidance or 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)

ATUL MAKHARIA

CRD# 5070762

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
- 12 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
 03/2010 - 06/2015
- B** **GUNNALLEN FINANCIAL, INC**
 CRD# 17609
 LEXINGTON, SC
 03/2008 - 03/2010
- B** **FIRST ALLIED SECURITIES, INC.**
 CRD# 32444
 LEXINGTON, SC
 12/2005 - 03/2008

**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
Investigation	1
Customer Dispute	10



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 12 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 FINRA	General Securities Representative	Approved	05/19/2015

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	10/06/2016
B California	Agent	Approved	05/19/2015
B Florida	Agent	Approved	05/19/2015
B Georgia	Agent	Approved	05/19/2015
B Minnesota	Agent	Approved	10/26/2016
B North Carolina	Agent	Approved	05/19/2015
B South Carolina	Agent	Approved	05/19/2015
B Tennessee	Agent	Approved	05/21/2015
B Texas	Agent	Approved	05/19/2015
B Virginia	Agent	Approved	05/19/2015
B Washington	Agent	Approved	06/15/2015
B Wisconsin	Agent	Approved	07/05/2017

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

CENTAURUS FINANCIAL, INC.
4580 SUNSET BLVD.
LEXINGTON, SC 29072



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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/20/2005

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	02/06/2006

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/.



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 03/2010 - 06/2015	J.P. TURNER & COMPANY, L.L.C.	43177	LEXINGTON, SC
B 03/2008 - 03/2010	GUNNALLEN FINANCIAL, INC	17609	LEXINGTON, SC
B 12/2005 - 03/2008	FIRST ALLIED SECURITIES, INC.	32444	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
03/2010 - 05/2015	J P TURNER & COMPANY LLC	BROKER	Y	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 10/1/2003, DEVOTED TIME IS 300 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	1	9	N/A
Investigation	1	N/A	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 8

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 customer alleges that the Registered Representative over concentrated the customer's account(s) in unsuitable investments. No dates are provided within the Statement of Claim, however the relationship began at a prior broker/dealer.
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 #:	20-01809
Filing date of arbitration/CFTC reparation or civil litigation:	06/09/2020

Customer Complaint Information



Date Complaint Received:	06/15/2020
Complaint Pending?	No
Status:	Settled
Status Date:	06/17/2021
Settlement Amount:	\$70,000.00
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, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.

Disclosure 2 of 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Centaurus Financial, Inc.
Allegations:	During the period 2017 through 2018, the customer alleges that the Registered Representative over concentrated her investment(s) in unsuitable, complex, high-risk, speculative and illiquid investments.
Product Type:	CD Debt-Corporate
Alleged Damages:	\$150,000.00
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 #:	20-00755



Filing date of arbitration/CFTC reparation or civil litigation: 02/24/2020

Customer Complaint Information

Date Complaint Received: 03/16/2020

Complaint Pending? No

Status: Settled

Status Date: 10/14/2020

Settlement Amount: \$57,500.00

Individual Contribution Amount: \$0.00

Broker Statement

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 3 of 8

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 customer alleges that the Registered Representative invested his account(s) in unsuitable investments and breached his fiduciary duty. No dates of alleged activity were disclosed in the Statement of Claim.

Product Type: 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 #: 20-00498

Filing date of arbitration/CFTC reparation or civil litigation: 02/12/2020

Customer Complaint Information

Date Complaint Received: 02/18/2020

Complaint Pending? No

Status: Settled

Status Date: 12/15/2020

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Broker Statement 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 4 of 8

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Centaurus Financial, Inc.

Allegations: The customers allege that the Registered Representative recommended unsuitable investments and breached his fiduciary duty. No dates are provided within the Statement of Claim.

Product Type: CD
Debt-Corporate

Alleged Damages: \$160,000.00

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 #: 19-03327

Filing date of arbitration/CFTC reparation or civil litigation: 11/11/2019

Customer Complaint Information

Date Complaint Received: 11/14/2019

Complaint Pending? No

Status: Settled

Status Date: 12/28/2020

Settlement Amount: \$30,000.00

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, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.

Disclosure 5 of 8

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Centaurus Financial

Allegations: During the period 2018 through May 2019, [REDACTED] alleges that the Registered Representative over concentrated her investment(s) in unsuitable, complex, high-risk, speculative and illiquid investments.

Product Type: CD
Debt-Corporate

Alleged Damages: \$600,000.00



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 #: 19-02216
Filing date of arbitration/CFTC reparation or civil litigation: 08/09/2019

Customer Complaint Information

Date Complaint Received: 08/14/2019
Complaint Pending? No
Status: Settled
Status Date: 10/09/2020
Settlement Amount: \$30,000.00
Individual Contribution Amount: \$0.00

Broker Statement

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 6 of 8

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: JP Turner and Centaurus Financial, Inc.

Allegations: Between 2015 and 2018, the Customer alleges that the financial advisor misrepresented, recommended unsuitable investments and breached his fiduciary duty.

Product Type: 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 #: 19-01539

Filing date of arbitration/CFTC reparation or civil litigation: 06/10/2019

Customer Complaint Information

Date Complaint Received: 06/13/2019

Complaint Pending? No

Status: Settled

Status Date: 06/03/2020

Settlement Amount: \$14,750.00

Individual Contribution Amount: \$0.00

Broker Statement

I vehemently deny any wrongdoing and assert that the allegations are completely without merit. The investments about which the customers 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 customers confirmed in writing that they not only received the requisite investment documentation/disclosures, but that they 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.

Disclosure 7 of 8

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: JP Turner and Centaurus Financial, Inc.



Allegations:	Customer primarily alleges that the financial advisor recommended unsuitable investments and several other allegations associated therewith.
Product Type:	Debt-Corporate
Alleged Damages:	\$200,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/08/2018
Complaint Pending?	No
Status:	Settled
Status Date:	07/18/2019
Settlement Amount:	\$35,180.00
Individual Contribution Amount:	\$0.00

Broker Statement	I vehemently deny any wrongdoing and assert that the allegations are completely without merit. The customer confirmed in writing that they not only received the requisite investment documentation/disclosures, but that they fully understood the characteristics and risks of the investments. The investments about which they complained were suitable and were recommended based on their objectives, goals and financial circumstances and were offered only after the customer's review of all material documentation related to the investment. 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.
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Disclosure 8 of 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	JP Turner & Centaurus Financial, Inc.
Allegations:	The customers allege their investments were unsuitable.



Product Type:	Debt-Corporate
Alleged Damages:	\$333,000.00
Alleged Damages Amount Explanation (if amount not exact):	\$333,000.00 is claimed unrealized market loss. The firm's good faith determination of the damages from the alleged conduct would be less than \$333,000.00 but more than \$5,000.00.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/15/2018
Complaint Pending?	No
Status:	Settled
Status Date:	09/09/2020
Settlement Amount:	\$40,000.00
Individual Contribution Amount:	\$0.00

Broker Statement 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 pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.P. TURNER
Allegations:	CLIENT CLAIMS THEY WERE SOLD AN UNSUITABLE CD AND DID NOT RECEIVE A PROSPECTUS.
Product Type:	CD
Alleged Damages:	\$20,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/31/2017
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	02/10/2017

Settlement Amount:

Individual Contribution Amount:

Broker Statement

The clients filed a written complaint with the State of South Carolina. The State presented the Firm with the complaint for analysis, review and response. After reviewing all of the relevant client information and transaction documents, the Firm responded to the State. Upon review of all paperwork/data submitted by the firm and the clients, the State closed its investigation with no further action recommended.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	The customer alleges that the Registered Representative misrepresented unsuitable, high-risk, speculative and illiquid investments. No dates for the alleged activity were disclosed in the Statement of Claim.
Product Type:	Debt-Corporate Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant does not allege a specific compensatory damage amount but rather seeks compensatory damages in an unspecified amount. As such, the Firm has made a good faith determination that the compensatory damages potentially exceed \$5,000.
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 #:	22-02098
Filing date of arbitration/CFTC reparation or civil litigation:	09/14/2022

Customer Complaint Information

Date Complaint Received:	09/20/2022
Complaint Pending?	Yes
Settlement Amount:	



**Individual Contribution
Amount:**

Broker Statement

I vehemently deny any wrongdoing and assert that the allegations are completely without merit. 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 his 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.



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 1

Reporting Source:	Broker
Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Notice Date:	06/28/2022
Details:	The registered representative received a Wells Letter titled "In the Matter of Certain Sales of Curve Steepener Securities (HO-13528)." The proposed action would allege violations of Section 17(a) of the Securities Act of 1933. ("Securities Act") and Section 10(b) of the Securities Exchange Act of 1934 ("Exchange Act") and Rule 10b-5 promulgated thereunder and aiding and abetting or causing certain of Centaurus' violations of Section 17(a) of the Exchange Act and Rule 17a-3(a)(17)(i)(B)(3) promulgated thereunder.
Is Investigation pending?	Yes

End of Report



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