IAPD Report

David L Crane

CRD# 1334510

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

David L Crane (CRD# 1334510)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	12/18/2018
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	12/18/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	QUESTAR ASSET MANAGEMENT, INC.	133358	DACULA, GA	06/02/2010 - 12/18/2018
B	QUESTAR CAPITAL CORPORATION	43100	DACULA, GA	12/01/2006 - 12/18/2018
B	USALLIANZ SECURITIES, INC.	40875	DULUTH, GA	01/12/2004 - 12/01/2006

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1
Judgment/Lien	5

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **9** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

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

Main Address: 2300 EAST KATELLA AVE
SUITE 200
ANAHEIM, CA 92806

Firm ID#: 30833

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	12/18/2018
B	FINRA	General Securities Representative	Approved	12/18/2018
B	Alabama	Agent	Approved	01/11/2019
B	California	Agent	Approved	12/18/2018
IA	California	Investment Adviser Representative	Approved	12/18/2018
B	Florida	Agent	Approved	04/18/2022
IA	Florida	Investment Adviser Representative	Approved	04/18/2022
B	Georgia	Agent	Approved	12/18/2018
IA	Georgia	Investment Adviser Representative	Approved	01/08/2019
B	Mississippi	Agent	Approved	11/19/2025
B	New York	Agent	Approved	12/18/2018
B	North Carolina	Agent	Approved	01/15/2019
B	Tennessee	Agent	Approved	11/30/2022

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	02/25/2025

Branch Office Locations

CENTAURUS FINANCIAL, INC.
Winder, GA

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/25/1999

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/16/1985

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/21/2009
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/24/1985

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	06/02/2010 - 12/18/2018	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	DACULA, GA
B	12/01/2006 - 12/18/2018	QUESTAR CAPITAL CORPORATION	CRD# 43100	DACULA, GA
B	01/12/2004 - 12/01/2006	USALLIANZ SECURITIES, INC.	CRD# 40875	DULUTH, GA
B	06/10/2002 - 12/31/2003	DEMPSEY FINANCIAL NETWORK, INC.	CRD# 38330	ATLANTA, GA
B	03/05/1993 - 05/08/2002	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA
B	03/05/1993 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	09/06/1989 - 03/04/1993	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	03/20/1989 - 08/30/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	08/12/1987 - 03/29/1989	OGILVIE & TAYLOR SECURITIES CORPORATION	CRD# 10105	
B	10/29/1986 - 08/04/1987	W. S. GRIFFITH & CO., INC.	CRD# 10410	
B	02/21/1985 - 12/01/1986	OGILVIE & TAYLOR SECURITIES CORPORATION	CRD# 10105	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2018 - Present	Centaurus Financial Inc.	Registered Representative	Y	Anaheim, CA, United States
06/2010 - 12/2018	QUESTAR ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
12/2006 - 12/2018	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States

Registration & Employment History

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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. Insurance Agent, non-investment related, Dacula, GA 30019, insurance sales, financial advisor, since 8/1/1984, devoted time a month is 2 hours, insurance sales to retail customers. Advanced Retirement Solutions, investment related, Dacula, GA 30019, DBA, Financial Services, owner, since 3/2002, devoted time is 160 hours, soliciting and servicing financial services clients and work through referrals to build my business.

2. MULBERRY GROVE HOMEOWNERS ASSOCIATION
POSITION: President NATURE: Mulberry Grove Homeowners Association, LLC INVESTMENT RELATED: No NUMBER OF HOURS: 7 SECURITIES TRADING HOURS: 0 START DATE: 10/20/2025
ADDRESS: P.O. Box 102, Hoschton GA 30548, United States
DESCRIPTION: Conduct all scheduled meetings, enforce neighborhood covenants through notices of violation, solicit bids for required tasks in common areas (ie. lawn and retention pond maintenance) and approve best bid with 3 other Board members.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1
Judgment/Lien	5

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SIGNATOR INVESTORS, INC.
Allegations:	PLAINTIFF ALLEGES REGISTERED REPRESENTATIVE PROVIDED NEGLIGENT FINACIAL AND INVESTMENT ADVICE, MISREPRESENTATIONS AND BREACH OF FIDUCIARY DUTY IN REGARDS TO THE PURCHASE OF A VARIABLE ANNUITY AND VARIABLE LIFE INSURANCE.
Product Type:	Annuity(ies) - Variable
Other Product Type(s):	VARIABLE LIFE INSURANCE
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	
Status:	Litigation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	COMMONWEALTH OF MASSACHUSETTS SUPERIOR COURT, SUFFOLK COUNTY. NO DOCKET NUMBER PROVIDED.
Date Notice/Process Served:	06/25/2004
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	01/23/2008
Monetary Compensation Amount:	$225,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SIGNATOR INVESTORS, INC
Allegations:	PLANTIFF ALLEGES REGISTERED REPRESENTATIVE PROVIDED NEGLIGENT FINANCIAL & INVESTMENT ADVICE, MISREPRESENTATIONS AND BREECH OF FIDUCIARY DUTY IN REGARDS TO THE PURCHASE OF A VARIABLE ANNUITY & VARIABLE LIFE INSURANCE.
Product Type:	Annuity(ies) - Variable
Other Product Type(s):	VARIABLE LIFE INSURANCE
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	07/14/2004
Complaint Pending?	No
Status:	Litigation
Status Date:	06/25/2004
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	COMMONWEALTH OF MASSACHUSETTS, SUPERIOR COURT, SUFFOLK COUNTY. DOCKET NUMBER SUCV2004-02736-H.
Date Notice/Process Served:	06/25/2004
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	02/27/2008
Monetary Compensation Amount:	$225,000.00
Individual Contribution Amount:	$0.00
Broker Statement	CASE WAS FILED IN MA, ALTHOUGH ALL FACTS OCCURRED IN GA.

PLAINTIFF ATTEMPTED SUIT FOR $600,000.00, PARTIES COLLECTIVELY SETTLED FOR $225,000.00. MY INSURANCE PAID ALL COSTS FOR MY SHARE OF SETTLEMENT, NO FINDING OF GUILT ON MY PART.

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$131,644.51
Judgment/Lien Type:	Tax
Date Filed with Court:	03/27/2018
Date Individual Learned:	03/30/2018
Type of Court:	County court
Name of Court:	Superior Court, Gwinnett County
Location of Court:	Lawrenceville, GA
Docket/Case #:	300846818
Judgment/Lien Outstanding?	Yes
Broker Statement	This lien covers tax years that are already covered by liens that are subject to an installment agreement dated Jan. 2012 under which monthly payments are being made and are current.

Disclosure 2 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$8,763.40
Judgment/Lien Type:	Tax
Date Filed with Court:	10/05/2011
Date Individual Learned:	10/19/2011
Type of Court:	State Court
Name of Court:	SUPERIOR COURT
Location of Court:	GWINNETT, GEORGIA
Docket/Case #:	819330011
Judgment/Lien Outstanding?	Yes
Broker Statement	TAX ASSESSED IS INCLUDED IN OFFER IN COMPROMISE APPROVED BY GA, PAYMENTS OF $400/MO. EXPIRE 03/2017.

Disclosure 3 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$34,101.00
Judgment/Lien Type:	Tax

Date Filed with Court:	11/10/2010
Date Individual Learned:	11/10/2010
Type of Court:	State Court
Name of Court:	FULTON SUPERIOR COURT
Location of Court:	ATLANTA GEORGIA
Docket/Case #:	BK1623PG510
Judgment/Lien Outstanding?	Yes
Broker Statement	ANY AND ALL TAXES ALLEGEDLY OWED UP TO TAX YEAR 2009. PART OF APPROVED OFFER IN COMPROMISE. PAYMENTS OF $300/MO. END 03/2020 WHEN LIENS SELF RELEASE. THIS LIEN IS A DUPLICATE TO ONE FILED IN GWINNETT COUNTY.

Disclosure 4 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$168,960.33
Judgment/Lien Type:	Tax
Date Filed with Court:	02/23/2010
Date Individual Learned:	03/16/2010
Type of Court:	State Court
Name of Court:	SUPERIOR COURT
Location of Court:	FULTON COUNTY GEORGIA
Docket/Case #:	BK2883PG260
Judgment/Lien Outstanding?	Yes
Broker Statement	ANY AND ALL FED. TAXES ALLEGEDLY OWED UP TO TAX YEAR 2009. PART OF APPROVED OFFER IN COMPROMISE. PAYMENTS OF $300/MO. END 03/2020 WHEN LIENS SELF RELEASE. THIS LIEN IS A DUPLICATE TO ONE FILED IN GWINNETT COUNTY.

Disclosure 5 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$37,507.53
Judgment/Lien Type:	Tax
Date Filed with Court:	02/23/2010
Date Individual Learned:	03/16/2010
Type of Court:	State Court
Name of Court:	SUPERIOR COURT
Location of Court:	FULTON COUNTY GEORGIA
Docket/Case #:	BK2883PG261

Judgment/Lien Outstanding?	Yes
Broker Statement	ANY AND ALL FED. TAXES ALLEGEDLY OWED UP TO TAX YEAR 2009. PART OF APPROVED OFFER IN COMPROMISE. PAYMENTS OF $300/MO. END 03/2020 WHEN LIENS SELF RELEASE.

End of Report

This page is intentionally left blank.

