



IAPD Report

TIMOTHY DAVID MCVEY

CRD# 1535662

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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

TIMOTHY DAVID MCVEY (CRD# 1535662)

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 **01/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	08/31/2004
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	09/01/2004

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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	MUTUAL SERVICE CORPORATION	4806	LONG BEACH, CA	01/14/2002 - 09/13/2004
B	MUTUAL SERVICE CORPORATION	4806	BOSTON, MA	03/31/1999 - 09/13/2004
B	TITAN/VALUE EQUITIES GROUP, INC.	6359	IRVINE, CA	07/23/1986 - 03/31/1999

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	2



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 **29** 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	08/31/2004
B	FINRA	General Securities Representative	Approved	08/31/2004
B	Alaska	Agent	Approved	02/22/2013
IA	Alaska	Investment Adviser Representative	Approved	02/25/2013
B	Arizona	Agent	Approved	06/27/2006
IA	Arizona	Investment Adviser Representative	Approved	02/06/2012
B	California	Agent	Approved	08/31/2004
IA	California	Investment Adviser Representative	Approved	09/01/2004
B	Colorado	Agent	Approved	09/01/2004
B	District of Columbia	Agent	Approved	01/19/2023
B	Florida	Agent	Approved	01/30/2008
IA	Florida	Investment Adviser Representative	Approved	03/31/2014
B	Georgia	Agent	Approved	02/21/2020



Qualifications

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	12/06/2021
B Hawaii	Agent	Approved	06/07/2021
IA Hawaii	Investment Adviser Representative	Approved	06/29/2021
B Idaho	Agent	Approved	10/18/2006
IA Idaho	Investment Adviser Representative	Approved	01/10/2018
B Illinois	Agent	Approved	01/02/2025
IA Illinois	Investment Adviser Representative	Approved	01/06/2025
B Kansas	Agent	Approved	01/30/2008
IA Kansas	Investment Adviser Representative	Approved	01/28/2012
B Kentucky	Agent	Approved	12/09/2014
IA Kentucky	Investment Adviser Representative	Approved	06/09/2015
B Maryland	Agent	Approved	06/24/2021
IA Maryland	Investment Adviser Representative	Approved	06/24/2021
B Massachusetts	Agent	Approved	10/07/2015
IA Massachusetts	Investment Adviser Representative	Approved	01/07/2026
B Michigan	Agent	Approved	10/14/2019
IA Michigan	Investment Adviser Representative	Approved	02/15/2022
IA Nebraska	Investment Adviser Representative	Approved	01/08/2021
B Nebraska	Agent	Approved	01/11/2021



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	03/03/2008
IA Nevada	Investment Adviser Representative	Approved	12/17/2012
B New Jersey	Agent	Approved	01/06/2010
B New Mexico	Agent	Approved	10/26/2012
IA New Mexico	Investment Adviser Representative	Approved	04/05/2022
IA New York	Investment Adviser Representative	Approved	01/23/2026
B New York	Agent	Approved	01/28/2026
B North Carolina	Agent	Approved	09/09/2008
IA North Carolina	Investment Adviser Representative	Approved	01/03/2018
B Ohio	Agent	Approved	03/19/2014
IA Ohio	Investment Adviser Representative	Approved	03/19/2014
B Oregon	Agent	Approved	03/08/2007
IA Oregon	Investment Adviser Representative	Approved	01/31/2024
B Puerto Rico	Agent	Approved	07/15/2021
B South Carolina	Agent	Approved	09/20/2021
IA South Carolina	Investment Adviser Representative	Approved	09/21/2021
B Tennessee	Agent	Approved	02/11/2021
IA Tennessee	Investment Adviser Representative	Approved	02/18/2021
B Texas	Agent	Approved	04/02/2014



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	07/05/2022
B Virginia	Agent	Approved	02/28/2006
IA Virginia	Investment Adviser Representative	Approved	02/08/2011
B Washington	Agent	Approved	01/05/2017
IA Washington	Investment Adviser Representative	Approved	01/05/2017

Branch Office Locations

CENTAURUS FINANCIAL, INC.
16400 PACIFIC COAST HWY
SUITE #206
HUNTINGTON BEACH, CA 92649



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	10/16/1986

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/19/1986

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	07/21/1987

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	01/14/2002 - 09/13/2004	MUTUAL SERVICE CORPORATION	CRD# 4806	LONG BEACH, CA
B	03/31/1999 - 09/13/2004	MUTUAL SERVICE CORPORATION	CRD# 4806	BOSTON, MA
B	07/23/1986 - 03/31/1999	TITAN/VALUE EQUITIES GROUP, INC.	CRD# 6359	IRVINE, CA

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
08/2004 - Present	CENTAURUS FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	ORANGE, CA, United States
06/1986 - Present	SELF EMPLOYED	OTHER - TAX PRACTITIONER INSURANCE BRO	N	DOWNEY, CA, United States

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.

REAL ESTATE BROKER; TIM MCVEY; 6700 E. PACIFIC COAST HWY., SUITE #105, LONG BEACH, CA 90803; REAL ESTATE SALES; NON INVESTMENT RELATED; 1 HOUR PER MONTH; START DATE 12-1993. TAX PREPARER; TIM MCVEY 6700 E. PACIFIC COAST HWY., SUITE #105, LONG BEACH, CA 90803; START DATE 01/1/1982; 60 HOURS PER MONTH; TAX PREPARATION AND TAX PLANNING.

INSURANCE AGENT; TIMOTHY MCVEY; 6700 E. PCH, #105, LONG BEACH; 5 HOURS PER MONTH. START DATE 7-9-1982; INVESTMENT RELATED; SALES OF FA, UL, DISABILITY AND TERM INSURANCE.



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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	CLIENT ALLEGES THAT THE REPRESENTATIVE RECOMMENDED AN UNSUITABLE INVESTMENT IN JUNE 2013.
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT HAS REQUESTED A RESCISSION ON THE \$25,000 NON-TRADED REIT INVESTMENT.
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:	12/23/2013
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	05/13/2014
Settlement Amount:	

**Individual Contribution Amount:****Broker Statement**

INITIAL STATEMENT ADDRESSING COMPLAINT: I BELIEVE THE CLAIMS ARE UNWARRANTED AND COMPLETELY UNFOUNDED. THE INVESTMENT WAS APPROPRIATE BASED ON THE CUSTOMER'S FINANCIAL SITUATION, INVESTMENT OBJECTIVES AND RISK TOLERANCE LEVEL AT THE TIME OF PURCHASE. THE INVESTMENT REPRESENTED A VERY SMALL PORTION OF THE CUSTOMER'S LIQUID NET WORTH (4%) AND WAS PURCHASED BY HER TO DIVERSIFY THE INVESTMENT PORTFOLIO. THE CUSTOMER RECEIVED THE PROSPECTUS OVER TWO MONTHS PRIOR TO MAKING THE INVESTMENT AND WAS FULLY AWARE OF THE CHARACTERISTICS OF THE INVESTMENT, INCLUDING ALL OF THE RISK FACTORS. THE INVESTMENT SPECIFICS/CHARACTERISTICS WERE PRESENTED IN THE WRITTEN DOCUMENTATION GIVEN TO THE CLIENT AND WERE DISCUSSED VERBALLY WITH THE CLIENT, WITH SIGNED DOCUMENTATION BY THE CLIENT CONFIRMING THE SAME.

FINAL STATEMENT ADDRESSING FINAL DISPOSITION: I FEEL FULLY VINDICATED IN THAT THE CLIENT DROPPED THE COMPLAINT AND THE MATTER WAS CLOSED. IT IS TROUBLING THAT FRIVOLOUS COMPLAINTS, WITH ERRONEOUS ASSERTIONS AND MISSTATEMENTS OF FACT, ARE FORCED TO REMAIN PART OF A REGISTERED REPRESENTATIVE'S PERMANENT RECORD.

Disclosure 2 of 2**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

JOHN M. SIMON/VESPER CORP.

Allegations:

INDIVIDUALS HAS PROMISSORY NOTES WITH MY FORMER EMPLOYER, JOHN SIMON/VESPER CORP. WHO DEFAULTED ON SAID NOTES IN 1985. I WAS USED BY MY EMPLOYER WHO REPRESENTED TO ME AN UNTRUE PICTURE ON HIS BUSINESS SUCH AS OVERSTATING THE VALUE OF THE ASSETS SECURING THESE PROMISSORY NOTES.

Product Type:

Other

Other Product Type(s):

PROMISSORY NOTES.

Alleged Damages:

\$5,100,000.00

Customer Complaint Information**Date Complaint Received:** 09/24/1987**Complaint Pending?** No**Status:** Litigation**Status Date:** 01/23/1989**Settlement Amount:****Individual Contribution Amount:****Civil Litigation Information****Court Details:** NVC 09034, CALIFORNIA**Date Notice/Process Served:** 01/23/1989



Litigation Pending?	No
Disposition:	Settled
Disposition Date:	01/23/1989
Monetary Compensation Amount:	\$25,000.00
Individual Contribution Amount:	\$25,000.00
Broker Statement	\$25,000 SETTLEMENT HAS BEEN SATISFIED BY 50 MONTHLY PAYMENTS OF \$500.00 PER MONTH ENDING MARCH 1993.



End of Report

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