



IAPD Report

JOHN EDMOND TRYON

CRD# 1593231

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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

JOHN EDMOND TRYON (CRD# 1593231)

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 **12/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	04/01/2005
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	04/23/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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
B	LEONARD & COMPANY	36527	TROY, MI	04/07/1998 - 04/29/2005
B	VESTAX SECURITIES CORPORATION	10332	HUDSON, OH	01/07/1991 - 04/22/1998
B	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, CA	07/24/1987 - 01/15/1991

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	4



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 **14** 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 Representative	Approved	04/01/2005
B	Arizona	Agent	Approved	01/04/2019
B	California	Agent	Approved	04/27/2005
B	District of Columbia	Agent	Approved	01/22/2010
B	Florida	Agent	Approved	04/27/2005
B	Georgia	Agent	Approved	06/03/2025
B	Indiana	Agent	Approved	03/26/2007
B	Michigan	Agent	Approved	04/01/2005
IA	Michigan	Investment Adviser Representative	Approved	04/25/2013
B	Minnesota	Agent	Approved	02/12/2020
B	Missouri	Agent	Approved	09/26/2023
B	North Carolina	Agent	Approved	11/07/2023
B	Pennsylvania	Agent	Approved	04/01/2005



Qualifications

Regulator	Registration	Status	Date
B Rhode Island	Agent	Approved	11/18/2020
B Texas	Agent	Approved	05/11/2020
B Virginia	Agent	Approved	04/10/2013

Branch Office Locations

CENTAURUS FINANCIAL, INC.
667 E. BIG BEAVER ROAD
SUITE #203
TROY, MI 48083




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, 4 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/07/1988

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	12/19/1987
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/13/1987
	Direct Participation Programs Representative Examination (S22)	Series 22	07/23/1987

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	04/12/2013
	Uniform Securities Agent State Law Examination (S63)	Series 63	07/17/1987

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	04/07/1998 - 04/29/2005	LEONARD & COMPANY	CRD# 36527	TROY, MI
B	01/07/1991 - 04/22/1998	VESTAX SECURITIES CORPORATION	CRD# 10332	HUDSON, OH
B	07/24/1987 - 01/15/1991	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, 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
04/2005 - Present	CENTAURUS FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	ORANGE, CA, United States
08/1990 - Present	SELF EMPLOYED	OTHER - FINANCIAL & ESTATE PLANNER	N	BLOOMFIELD HILLS, MI, 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.

1. JOHN E. TRYON & ASSOCIATES, NON-INVESTMENT RELATED, 189 E. BIG BEAVER ROAD, SUITE #211, TROY, MI 48083, DBA, BRANDING PURPOSES ONLY, OWNER, SINCE 3/5/2013.
2. NOTARY PUBLIC
 POSITION: Notary Public NATURE: Notarize Documents for Clients INVESTMENT RELATED: No NUMBER OF HOURS: 1
 SECURITIES TRADING HOURS: 0 START DATE: 02/06/2018
 ADDRESS: Northville MI 48167, United States
 DESCRIPTION: I notarize documents for clients



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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	The customer alleges that the Registered Representative recommended unsuitable, high-risk, illiquid investments and breached his fiduciary duty. No specific dates for the alleged activity were identified in the Statement of Claim.
Product Type:	Annuity-Variable Debt-Corporate Direct Investment-DPP & LP Interests
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 #:	24-00855
Filing date of arbitration/CFTC reparation or civil litigation:	04/22/2024

Customer Complaint Information

Date Complaint Received:	05/03/2024
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Complaint Pending? No

Status: Settled

Status Date: 04/28/2025

Settlement Amount: \$20,000.00

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 customer complained were suitable and were recommended based on the customer's objectives, goals and financial circumstances and were offered only after her review of all material documentation related to the investment. The customer confirmed in writing that they not only received the requisite investment documentation/disclosures, but that she 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 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UNKNOWN

Allegations: PLAINTIFFS ALLEGE CONVERSION OF FUNDS INVESTED IN THE AMERICAN CHARITABLE PROGRAM, PURCHASED IN EARLY 1995.

Product Type: Other: UNKNOWN PRODUCT TYPE

Alleged Damages: \$25,000.00

Alleged Damages Amount Explanation (if amount not exact): CIVIL LITIGATION SPECIFIES CUSTOMER DAMAGES IN EXCESS OF \$25000.00.

Civil Litigation Information

Type of Court: State Court

Name of Court: STATE OF MICHIGAN CIRCUIT COURT FOR THE COUNTY OF OAKLAND

Location of Court: OAKLAND COUNTY, MI

Docket/Case #: 10-111125-CK

Date Notice/Process Served: 06/15/2010

Litigation Pending? Yes

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: VESTAX SECURITIES CORP.

Allegations: IN FEBRUARY 1995 CLAIMANTS DEPOSITED FUNDS IN A POOLED LIFE INSURANCE INVESTMENT FUND WHICH SUBSEQUENTLY BECAME INSOLVENT. FUND WAS MISREPRESENTED AND FRAUDULENT.

Product Type: Insurance



Investment Contract

Alleged Damages: \$99,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: OAKLAND COUNTY JUDICIAL CIRCUIT COURT

Location of Court: OAKLAND COUNTY, MICHIGAN

Docket/Case #: 10-111125-CK

Date Notice/Process Served: 06/15/2010

Litigation Pending? No

Disposition: Settled

Disposition Date: 06/01/2011

Monetary Compensation Amount: \$14,999.99

Individual Contribution Amount: \$0.00

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LEONARD & COMPANY

Allegations: UNSUITABLE INVESTMENT; BREACH OF FIDUCIARY DUTY

Product Type: Annuity(ies) - Variable

Alleged Damages: \$260,912.32

Customer Complaint Information

Date Complaint Received: 09/22/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/22/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 04-06565

Date Notice/Process Served: 09/22/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/17/2006

Monetary Compensation \$50,000.00



Amount:
Individual Contribution Amount: \$25,000.00
Firm Statement: CUSTOMER COMPLAINT WAS SETTLED IN ARBITRATION THROUGH MEDIATION.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: LEONARD AND COMPANY
Allegations: UNSUITABLE INVESTMENT; BREACH OF FIDUCIARY DUTY
Product Type: Annuity(ies) - Variable
Alleged Damages: \$260,912.32

Customer Complaint Information

Date Complaint Received: 09/22/2004
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 09/22/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 04-06565

Date Notice/Process Served: 09/22/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/17/2006

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$25,000.00

Broker Statement: CUSTOMER WAS UNHAPPY FOR THE PERFORMANCE FOR THEIR ACCOUNTS DURING THE 2000, 2001 AND 2002 MARKET CORRECTION.

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: SUITABILITY AND FAILURE TO DISCLOSE REGARDING TRASNFER FROM MUTUAL FUNDS TO VARIABLE ANNUITY,



REIMBURSEMENT
SOUGHT FOR \$30,000 CAPITAL GAINS TAX INCURRED FROM FOLLOWING
RECOMENDATION.

Product Type:

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 04/02/1998

Complaint Pending? No

Status: Settled

Status Date: 03/10/1999

Settlement Amount: \$9,372.00

Individual Contribution Amount: \$9,372.00

Firm Statement NOT PROVIDED
NOT PROVIDED

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: SUITABILITY AND FAILURE TO DISCLOSE

Product Type:

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 04/02/1998

Complaint Pending? No

Status: Settled

Status Date: 03/10/1999

Settlement Amount: \$9,372.00

Individual Contribution Amount: \$9,372.00

Broker Statement CUSTOMER SIGNED A WAIVER, RELEASE AND SETTLEMENT AGREEMENT, DTD 3/10/99 BETWEEN CUSTOMER AND JOHN E. TRYON. CUSTOMER AGREED TO SETTLE COMPLAINT FOR AN AMOUNT = TO \$9,372.00 WHICH WAS PAID BY JOHN TRYON. NASD INVESTIGATION OF COMPLAINT COMPLETED WITH NO ACTION. SETTLEMENT REACHED WITH NO ADMISSION OF ANY BREACH OF A STATUTORY OR COMMON LAW RIGHT, TORT, OR ANY WRONGFUL ACT
NOT PROVIDED



End of Report

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