



IAPD Report

MARTIN J VANAMEN

CRD# 1704657

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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

MARTIN J VANAMEN (CRD# 1704657)

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 **10/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	12/20/2018
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	01/04/2019

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
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Draper, UT	09/24/2018 - 12/19/2018
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Draper, UT	03/27/2018 - 12/19/2018
B	CENTAURUS FINANCIAL, INC.	30833	DRAPER, UT	04/02/2012 - 04/20/2018

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
Regulatory Event	1
Customer Dispute	1



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	01/04/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	01/04/2019
B	Arizona	Agent	Approved	01/10/2019
IA	Arizona	Investment Adviser Representative	Approved	01/10/2019
B	California	Agent	Approved	01/11/2019
IA	California	Investment Adviser Representative	Approved	01/14/2019
B	Colorado	Agent	Approved	01/10/2019
IA	Colorado	Investment Adviser Representative	Approved	01/11/2019
B	Idaho	Agent	Approved	01/15/2019
IA	Idaho	Investment Adviser Representative	Approved	01/15/2019
IA	Minnesota	Investment Adviser Representative	Approved	07/15/2021
B	Minnesota	Agent	Approved	07/16/2021
B	Nevada	Agent	Approved	01/22/2019



Qualifications

Regulator	Registration	Status	Date
IA Nevada	Investment Adviser Representative	Approved	01/22/2019
B North Dakota	Agent	Approved	07/19/2021
IA North Dakota	Investment Adviser Representative	Approved	07/19/2021
B Oklahoma	Agent	Approved	02/09/2026
B Oregon	Agent	Approved	01/25/2021
IA Oregon	Investment Adviser Representative	Approved	01/25/2021
B South Dakota	Agent	Approved	01/27/2021
IA South Dakota	Investment Adviser Representative	Approved	01/27/2021
B Texas	Agent	Approved	01/11/2019
IA Texas	Investment Adviser Representative	Restricted Approval	01/11/2019
IA Utah	Investment Adviser Representative	Approved	12/20/2018
B Utah	Agent	Approved	01/08/2019
B Washington	Agent	Approved	09/09/2025
IA Washington	Investment Adviser Representative	Approved	09/09/2025
B Wyoming	Agent	Approved	01/10/2019
IA Wyoming	Investment Adviser Representative	Approved	01/15/2019

Branch Office Locations

CENTAURUS FINANCIAL, INC.
 136 W. 12300 S
 SUITE #201
 DRAPER, UT 84020



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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/15/1989
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/30/1987

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	09/21/2018
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/15/1999

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
IA	09/24/2018 - 12/19/2018	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Draper, UT
B	03/27/2018 - 12/19/2018	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Draper, UT
B	04/02/2012 - 04/20/2018	CENTAURUS FINANCIAL, INC.	CRD# 30833	DRAPER, UT
B	11/01/2007 - 04/02/2012	PAULSON INVESTMENT COMPANY, INC.	CRD# 5670	DRAPER, UT
B	11/22/2002 - 11/23/2007	INVESTMENT MANAGEMENT CORPORATION	CRD# 37196	DRAPER, UT
IA	12/11/2001 - 11/15/2002	WACHOVIA SECURITIES, INC.	CRD# 19616	SALT LAKE CITY, UT
B	11/09/2001 - 11/15/2002	WACHOVIA SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	04/09/1998 - 11/29/2001	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	03/02/1998 - 04/15/1998	DAIN RAUSCHER INCORPORATED	CRD# 31194	NEW YORK, NY
B	10/05/1994 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	11/01/1989 - 10/26/1994	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	12/02/1987 - 11/15/1989	FIDELITY BROKERAGE SERVICES, INC.	CRD# 7784	SMITHFIELD, RI

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
03/2018 - 12/2018	Ameriprise Financial Services Inc	Registered Representative	Y	Draper, UT, United States
03/2012 - 03/2018	CENTAURUS FINANCIAL INC.	REGISTERED REP	Y	ANAHEIM, CA, 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. CONTRACTOR, INTEREST INSURANCE, 12339 S. 800 EAST STREET, #101A, DRAPER, UT 84020. SALES OF HEALTH INSURANCE, NON INVESTMENT RELATED SINCE 04/2018 AND I SPEND APPROX. 3 HOURS PER MONTH ON THIS ACTIVITY.

2. CORNER CANYON FINANCIAL SERVICES

POSITION: Manager NATURE: DBA for branding and marketing purposes. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2024

ADDRESS: 136 W. 12300 S., Suite #201, Draper UT 84020, United States

DESCRIPTION: DBA for branding and marketing purposes

3. BUSINESS CONSULTING

POSITION: self NATURE: When clients are selling a business, I connect them with a business broker and receive a finder's fee

INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2025

ADDRESS: 136 w 12300 s, draper UT 84020, United States

DESCRIPTION: When clients are selling a business, I connect them with a business broker and receive a finder's fee



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
Regulatory Event	1
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF UTAH DIVISION OF SECURITIES
Sanction(s) Sought:	Suspension Other: FINED RETAKE AND PASS SECURITIES LICENSES
Date Initiated:	04/12/1999
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	DAIN RAUSCHER INC.
Product Type:	Mutual Fund
Allegations:	ALLEGED VIOLATIONS OF UTAH CODE ANN. 61-1-1(2) - FALSE STATEMENTS; UTAH CODE ANN. 61-1-1(3) - FRAUDULENT PRACTICES; UTAH ADMIN. RULE B164-1-3(C)(1)(B) - EXCESSIVE COMPENSATION; UTAH ADMIN. RULE B164-6-1G(D)(7)(1) - SUITABILITY; UTAH ADMIN. RULE 164-6-1G(D)(7)(3) - EXCESSIVE TRADING.
Current Status:	Final
Resolution:	Stipulation and Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	04/12/1999
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	2 Weeks
Start Date:	
End Date:	
Broker Statement	THIS IS RELATING TO THE UTAH PARKS COUNSEL COMPLAINT THAT WAS INITIATED BY THE STATE.



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: DAN RAUSCHER INC.

Allegations: CLIENTS ALLEGE MISMANAGEMENT AND EXCESSIVE FEES RESULTING IN LOST PROFITS OF \$224,537.00. CLIENTS ALSO DEMAND PUNITIVE DAMAGES AND EXPENSES TOTALLING \$104,991.00.

Product Type:

Alleged Damages: \$224,537.00

Customer Complaint Information

Date Complaint Received: 11/25/1998

Complaint Pending? No

Status: Settled

Status Date: 01/19/1999

Settlement Amount: \$240,000.00

Individual Contribution Amount:

Firm Statement COMPLAINT WAS SETTLED IN THE AMOUNT OF \$240,000.00
NOT PROVIDED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DAIN RAUSCHER INC.

Allegations: THIS WAS NOT A CUSTOMER COMPLAINT. THIS WAS A COMPLAINT INITIATED BY THE STATE OF UTAH FOLLOWING AN AUDIT. THE AUDITOR FOUND AN ACCOUNT THAT WAS OPENED WITH \$100,000 IN B SHARES. ORIGINALLY, NO ADDITIONAL MONEY WAS INTENDED TO BE ADDED TO THE ACCOUNT. LATER, NEW REVENUE ALLOWED THE BSA TO ADD TO THE FUND AND OVER THE NEXT COUPLE OF YEARS...ALL TO B SHARE ACCOUNTS. THE CLIENTS CHOSE B SHARES BECAUSE THEY DID NOT WANT TO EXPLAIN THE SALES CHARGES TO THE BOARD. UTAH SECURITIES DEPT ALLEGED THAT FEES RESULTING IN LOST PROFITS OF \$224,537.00 SHOULD BE RETURNED TO THE CLIENTS AS THEY COULD HAVE PURCHASED A SHARES. IN ADDITION, PUNITIVE DAMAGES AND EXPENSES TOTALLING \$104,991.00 AT MR. VANAMEN'S PREVIOUS FIRM, DAIN RAUSCHER INC. ARE BEING ASKED FOR.



Product Type: Mutual Fund(s)

Alleged Damages: \$224,537.00

Customer Complaint Information

Date Complaint Received: 11/25/1998

Complaint Pending? No

Status: Settled

Status Date: 01/19/1999

Settlement Amount: \$240,000.00

Individual Contribution Amount: \$0.00

Broker Statement

COMPLAINT WAS SETTLED IN THE AMOUNT OF \$240,000.00. IT IS MY UNDERSTANDING THAT ONLY ONE CLIENT WAS INVOLVED. THE CLIENT DID NOT WANT THE MONEY BACK AS THEY SAID THEY HAD CHOSEN B SHARES BUT WERE FORCED TO ACCEPT THE SETTLEMENT AS THE STATE PRESSED THE ISSUE. THE STATE IMPOSED THE REGULATORY ACTIONS AGAINST VANAMEN AS A RESULT OF THIS ISSUE.



End of Report

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