



IAPD Report

CHRISTOPHER GENE HABERL

CRD# 2279941

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

CHRISTOPHER GENE HABERL (CRD# 2279941)

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 **12/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	04/26/2013
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	04/26/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	LPL FINANCIAL LLC	6413	HUNTINGTON BEACH, CA	12/31/1997 - 05/06/2013
B	LPL FINANCIAL LLC	6413	HUNTINGTON BEACH, CA	10/25/1995 - 05/06/2013
B	SECURITIES AMERICA, INC.	10205	LAVISTA, NE	07/20/1995 - 10/30/1995

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
Criminal	1
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 **20** 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	04/26/2013
B	FINRA	General Securities Representative	Approved	04/26/2013
B	Alabama	Agent	Approved	12/20/2022
B	Arizona	Agent	Approved	08/16/2021
IA	Arizona	Investment Adviser Representative	Approved	12/19/2025
B	Arkansas	Agent	Approved	08/20/2021
B	California	Agent	Approved	04/26/2013
IA	California	Investment Adviser Representative	Approved	04/26/2013
B	Florida	Agent	Approved	05/16/2016
B	Hawaii	Agent	Approved	11/19/2021
B	Idaho	Agent	Approved	02/05/2021
B	Indiana	Agent	Approved	07/24/2020
B	Maryland	Agent	Approved	02/01/2022



Qualifications

Regulator	Registration	Status	Date
IA Maryland	Investment Adviser Representative	Approved	09/23/2025
B Massachusetts	Agent	Approved	06/15/2022
B Nevada	Agent	Approved	10/23/2018
B New Mexico	Agent	Approved	03/18/2021
B North Carolina	Agent	Approved	04/26/2013
IA North Carolina	Investment Adviser Representative	Approved	04/30/2013
B Ohio	Agent	Approved	08/04/2021
B Oregon	Agent	Approved	08/24/2022
B South Carolina	Agent	Approved	12/21/2022
B Tennessee	Agent	Approved	03/23/2022
B Texas	Agent	Approved	04/26/2013
IA Texas	Investment Adviser Representative	Approved	04/26/2013
B Utah	Agent	Approved	02/07/2025
B Washington	Agent	Approved	03/17/2021

Branch Office Locations

CENTAURUS FINANCIAL, INC.
7777 CENTER AVENUE
SUITE #120
HUNTINGTON BEACH, CA 92647




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	10/23/1995

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/23/1992

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/1992

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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	12/31/1997 - 05/06/2013	LPL FINANCIAL LLC	CRD# 6413	HUNTINGTON BEACH, (
B	10/25/1995 - 05/06/2013	LPL FINANCIAL LLC	CRD# 6413	HUNTINGTON BEACH, (
B	07/20/1995 - 10/30/1995	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	10/22/1992 - 07/20/1995	PACIFIC COAST FINANCIAL SECURITIES, INC.	CRD# 29267	
B	09/28/1992 - 01/06/1993	THOMAS JAMES ASSOCIATES, INC.	CRD# 15609	ROCHESTER, NY

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
04/2013 - Present	CENTAURUS FINANCIAL INC.	REGISTERED REP	Y	ANAHEIM, CA, United States
09/1996 - Present	DIRECT INSURANCE BUSINESS	AGENT - Agent	N	SEAL BEACH, 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.

1. FCI LENDER SERVICES, INVESTMENT RELATED, HUNTINGTON BEACH, CA 92648, I AM INVESTING IN TRUST DEEDS FOR MYSELF, INVESTOR, DEVOTED TIME IS 1 HOUR A MONTH, SINCE 9/26/2016.
2. RETIREMENT EDUCATORS, NON-INVESTMENT RELATED, 7777 CENTER AVE., #120, HUNTINGTON BEACH, CA 92647, DBA FOR MODERN RETIREMENT PLANNING WORKSHOP, DEVOTED TIME IS 2 HRS A MONTH, COLLECT THE FEE FOR THE COURSE. OWNER, SINCE 9/8/2014.
3. HABERL WEALTH MANAGEMENT, NON-INVESTMENT RELATED, 7777 CENTER AVE., SUITE #120, HUNTINGTON BEACH, CA 92647, SALE OF FIXED INSURANCE AND/OR FIXED ANNUITIES, SINCE 1/1/2013, DEVOTED TIME IS 1 HR A MONTH, MEET WITH CLIENTS TO PROCESS THEIR INSURANCE CASES.
4. HABERL WEALTH MANAGEMENT LLC, NON-INVESTMENT RELATED, 7777 CENTER AVE., SUITE #120, HUNTINGTON BEACH, CA 92647, AN ENTITY USED AS A PASS THROUGH FOR TAX PURPOSES, OWNER, SINCE 9/21/2020, I AM THE SOLE MEMBER OF THE LLC.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

5. BAKER BROTHERS INVESTMENTS (BBI) THROUGH BGA HORIZON FUND, INVESTMENT RELATED, 1 MARINA PARK DRIVE, SUITE #1150, BOSTON, MA 02210, THIS IS A PRIVATE INVESTMENT OFFERED THROUGH BGA HORIZON FUND INVESTING IN BAKER BROTHERS INVESTMENTS A BIOTECH INVESTMENT FIRM, BAKER BROTHERS (BBI) EMPLOYS A PRIVATE EQUITY/VENTURE CAPITAL STYLE APPROACH TO PUBLIC BIOTECH INVESTING, 95% OF THEIR INVESTMENTS OCCUR IN THE PUBLIC MARKETS, BUT THEY HAVE A LONG TIME HORIZON FOR THEIR CORE POSITIONS, INVESTOR, SINCE 5/27/2021.

6. 711 PCH LLC

POSITION: Owner NATURE: 711 PCH LLC INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 12/01/2024

ADDRESS: 711 PCH #105, Huntington Beach CA 92648, United States

DESCRIPTION: This is a holding LLC for a rental property. The duties are to collect rent from the property and manage it when it becomes vacant.



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
Criminal	1
Customer Dispute	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	NEVADA CITY
Location of Court:	NEVADA CITY, CALIFORNIA
Docket/Case #:	TO91-002591
Charge Date:	08/14/1989
Charge(s) 1 of 1	
Formal Charge(s)/Description:	I WAS CITED FOR PETIT LARCENY (A LESSER OFFENCE THAN PETTY LARCENY.)
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	I WAS CITED, PAID A \$200 FINE AND COMPLETED COMMUNITY SERVICE.
Current Status:	Final
Status Date:	08/14/1989
Disposition Date:	08/14/1989
Sentence/Penalty:	THE PENALTY WAS TO PAY A \$200 FINE AND DO VOLUNTEER WORK.
Broker Statement	IN 1989, WHEN I WAS TWENTY YEARS OLD AND ON VACATION WITH MY FAMILY IN NEVADA, I WAS CITED FOR PETIT LARCENY (A LESSER OFFENCE THAN PETTY LARCENY) FOR TAKING A CASSETTE TAPE AND POSTCARD VALUED AT LESS THAN \$12.00 FROM A SUPERMARKET. IN ADDITION TO THE HUMILITY I CAUSED MY FAMILY, I PAID A \$200 FINE AND COMPLETED



COMMUNITY SERVICE.



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: Firm

Employing firm when activities occurred which led to the complaint: LINSICO / PRIVATE LEDGER CORP.

Allegations: CUSTOMER ALLEGES THAT MAY 2000 SALE OF ALLIANCE MUTUAL FUND AND PURCHASES OF LORD ABBETT AFFILIATED AND GROWTH FUNDS WERE UNAUTHORIZED. CUSTOMER ALLEGES LOSSES IN MARKET VALUE AND LOST DIVIDENDS, TOTALING \$6560. REP DENIES ALL ALLEGATIONS AND MAINTAINS THAT ALL TRANSACTIONS WERE AUTHORIZED AND SUITABLE.

Product Type: Mutual Fund

Alleged Damages: \$6,560.00

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: 03/18/2002

Complaint Pending? No

Status: Denied

Status Date: 03/27/2002

Settlement Amount:

Individual Contribution Amount:

Firm Statement UPDATE OF OCCURRENCE # 1087327

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LINSICO / PRIVATE LEDGER CORP.

Allegations: CUSTOMER ALLEGES THAT MAY 2000 SALE OF ALLIANCE MUTUAL FUND AND PURCHASES OF LORD ABBETT AFFILIATED AND GROWTH FUNDS WERE UNAUTHORIZED. CUSTOMER ALLEGES LOSSES IN MARKET VALUE AND LOST DIVIDENDS, TOTALING \$6560. REP DENIES ALL ALLEGATIONS AND MAINTAINS THAT ALL TRANSACTIONS WERE AUTHORIZED AND SUITABLE.



Product Type: Mutual Fund
Alleged Damages: \$6,560.00
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: 03/18/2002
Complaint Pending? No
Status: Denied
Status Date: 03/18/2002
Settlement Amount:
Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PACIFIC COAST FINANCIAL SECURITIES, INC.
Allegations: UNSUITABILITY & MISREPRESENTAION

Product Type:
Alleged Damages:

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 07/12/1996
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD
Date Notice/Process Served: 10/19/1995
Arbitration Pending? No
Disposition: Settled
Disposition Date: 07/12/1996



Monetary Compensation Amount: \$21,396.00

Individual Contribution Amount:

Firm Statement 5/23/96 CUSTOMER COMPLAINT INITIALLY SETTLED NO ACTION. ARBITRATION- SETTLED 7/12/96, ALL CLAIMS DISMISSED/SETTLED PCFS TO PAY \$21,396.00
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PACIFIC COAST FINANCIAL SECURITIES, INC.

Allegations: UNSUITABILITY & MISREPRESENTATION

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/12/1996

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD

Date Notice/Process Served: 10/19/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/12/1996

Monetary Compensation Amount: \$21,396.00

Individual Contribution Amount:

Broker Statement 5/23/96 CUSTOMER COMPLAINT INITIALLY SETTLED NO ACTION. ARBITRATION - SETTLED 7/12/96. ALL CLAIMS DISMISSED/SETTLED PCFS TO PAY \$21,396.00 INVESTIGATION, WAS PERFORMED. NO ACTION TAKEN TOWARD CHRIS HABERL.



End of Report

This page is intentionally left blank.