



IAPD Report

PHILIP ANTHONY BOARD

CRD# 2290520

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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

PHILIP ANTHONY BOARD (CRD# 2290520)

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 **09/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	08/06/2014
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	08/06/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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	FSC SECURITIES CORPORATION	7461	UPLAND, CA	05/07/2013 - 08/08/2014
B	FSC SECURITIES CORPORATION	7461	UPLAND, CA	05/06/2013 - 08/08/2014
B	LPL FINANCIAL LLC	6413	UPLAND, CA	08/01/2005 - 05/16/2013

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



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 **33** 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	08/06/2014
B	FINRA	General Securities Representative	Approved	08/06/2014
B	Alabama	Agent	Approved	03/07/2024
IA	Alabama	Investment Adviser Representative	Approved	03/07/2024
B	Alaska	Agent	Approved	08/03/2023
B	Arizona	Agent	Approved	08/06/2014
IA	Arizona	Investment Adviser Representative	Approved	08/19/2014
B	Arkansas	Agent	Approved	01/25/2022
IA	Arkansas	Investment Adviser Representative	Approved	01/30/2023
B	California	Agent	Approved	08/06/2014
IA	California	Investment Adviser Representative	Approved	08/06/2014
B	Colorado	Agent	Approved	03/16/2020
IA	Colorado	Investment Adviser Representative	Approved	03/16/2020



Qualifications

Regulator	Registration	Status	Date
B Connecticut	Agent	Approved	01/17/2023
B District of Columbia	Agent	Approved	07/25/2024
B Florida	Agent	Approved	01/23/2019
IA Florida	Investment Adviser Representative	Approved	10/22/2019
B Georgia	Agent	Approved	04/30/2025
IA Georgia	Investment Adviser Representative	Approved	04/30/2025
B Hawaii	Agent	Approved	07/28/2025
IA Hawaii	Investment Adviser Representative	Approved	07/28/2025
B Idaho	Agent	Approved	09/28/2016
IA Idaho	Investment Adviser Representative	Approved	09/28/2016
B Illinois	Agent	Approved	01/07/2021
IA Illinois	Investment Adviser Representative	Approved	01/07/2021
B Indiana	Agent	Approved	08/06/2014
IA Indiana	Investment Adviser Representative	Approved	08/06/2014
IA Michigan	Investment Adviser Representative	Approved	01/05/2021
B Michigan	Agent	Approved	05/01/2025
B Minnesota	Agent	Approved	10/06/2022
B Mississippi	Agent	Approved	04/30/2025
IA Mississippi	Investment Adviser Representative	Approved	04/30/2025



Qualifications

Regulator	Registration	Status	Date
B Missouri	Agent	Approved	04/30/2025
B Montana	Agent	Approved	08/27/2025
B Nebraska	Agent	Approved	03/01/2022
IA Nebraska	Investment Adviser Representative	Approved	03/04/2022
B Nevada	Agent	Approved	09/18/2020
IA Nevada	Investment Adviser Representative	Approved	09/18/2020
IA New Jersey	Investment Adviser Representative	Approved	04/03/2025
B New Jersey	Agent	Approved	04/30/2025
B New York	Agent	Approved	06/20/2017
IA New York	Investment Adviser Representative	Approved	11/01/2021
IA North Carolina	Investment Adviser Representative	Approved	03/19/2025
B North Carolina	Agent	Approved	04/30/2025
B North Dakota	Agent	Approved	05/12/2025
B Ohio	Agent	Approved	03/08/2022
IA Ohio	Investment Adviser Representative	Approved	03/08/2022
IA Oregon	Investment Adviser Representative	Approved	02/23/2017
B Oregon	Agent	Approved	05/17/2017
B South Carolina	Agent	Approved	01/14/2022
IA South Carolina	Investment Adviser Representative	Approved	01/24/2022



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	07/16/2024
B Texas	Agent	Approved	08/06/2014
IA Texas	Investment Adviser Representative	Approved	08/06/2014
B Utah	Agent	Approved	02/10/2023
IA Utah	Investment Adviser Representative	Approved	06/13/2024
IA Virginia	Investment Adviser Representative	Approved	11/01/2018
B Virginia	Agent	Approved	01/17/2023
B Washington	Agent	Approved	04/30/2025
IA Washington	Investment Adviser Representative	Approved	04/30/2025

Branch Office Locations

CENTAURUS FINANCIAL, INC.
818 NORTH MOUNTAIN AVE.
SUITE #200
UPLAND, CA 91786




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
 General Securities Principal Examination (S24)	Series 24	03/06/2003

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/17/1994

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	12/18/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/14/1993

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	05/07/2013 - 08/08/2014	FSC SECURITIES CORPORATION	CRD# 7461	UPLAND, CA
B	05/06/2013 - 08/08/2014	FSC SECURITIES CORPORATION	CRD# 7461	UPLAND, CA
B	08/01/2005 - 05/16/2013	LPL FINANCIAL LLC	CRD# 6413	UPLAND, CA
IA	08/01/2005 - 05/16/2013	LPL FINANCIAL LLC	CRD# 6413	UPLAND, CA
IA	01/28/2002 - 08/02/2005	ING FINANCIAL PARTNERS, INC	CRD# 2882	UPLAND, CA
B	07/23/1996 - 08/02/2005	ING FINANCIAL PARTNERS, INC.	CRD# 2882	WINDSOR, CT
B	07/21/1994 - 07/22/1996	DIVERSIFIED SECURITIES, INCORPORATED	CRD# 222	SEAL BEACH, CA
B	05/18/1994 - 06/21/1994	ADVANTAGE CAPITAL CORPORATION	CRD# 146	ATLANTA, GA

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
08/2014 - Present	CENTAURUS FINANCIAL INC.	REGISTERED REPRESENTATIVE	Y	ANAHEIM, 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. MEDI-CAL BENEFITS -1ON1 ELDER CARE, NON-INVESTMENT RELATED, 818 N. MOUNTAIN AVE, SUITE #200, UPLAND, CA 91786, MEDI-CAL, LTC PLANNING AND PAPERWORK PREPARATION FOR VETERANS BENEFITS, BENEFITS SPECIALIST, SINCE 5/22/2017, DEVOTED TIME IS 16 HOURS A MONTH, GATHER INFORMATION TO QUALIFY ASSISTED LIVING CLIENTS FOR MEDI-CAL BENEFITS AND PREPARE DOCUMENT PACKAGE FOR VETERANS FOR SUBMISSION TO VA FOR AID AND ATTENDANCE BENEFITS.

2. REAL ESTATE, NON-INVESTMENT RELATED, UPLAND, CA, 4 RENTAL PROPERTIES, OWNER, SINCE 1/2005, DEVOTED TIME IS 1 HR A MONTH.

3. 1ON1 FINANCIAL & INSURANCE SERVICES, INC., NON-INVESTMENT RELATED, 818 N. MOUNTAIN AVE., SUITE #200, UPLAND, CA 91786, DBA, INSURANCE, PRESIDENT, SINCE 7/1/1998, DEVOTED TIME IS 160 HRS A MONTH, SELL OF



Registration & Employment History

OTHER BUSINESS ACTIVITIES

LIFE AND HEALTH INSURANCE, FIXED INSURANCE AND/OR FIXED ANNUITIES.

4. AMERIESTATE LEGAL PLANS, NON-INVESTMENT RELATED, 818 N. MOUNTAIN AVE., SUITE #200, UPLAND, CA 91786, FACILITATION AS A GO BETWEEN CLIENTS AND ATTORNEY TO SET UP TRUST FOR CLIENT'S BENEFIT, SALES REP, SINCE 8/29/2019, DEVOTED TIME IS 2 HOURS A MONTH, HELP CLIENTS FILL OUT ESTATE PLANNING QUESTIONNAIRE AND DELIVER TO LAWYERS.

5. PHILIP A. BOARD AS AUTHOR

POSITION: Author NATURE: Authoring Book, Educational INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 03/06/2024

ADDRESS: 818 N Mountain Ave, Suite #200, Upland CA 91786, United States

DESCRIPTION: Co-Authoring a book
"Modern Retirement Thought Leaders"

6. FINANCIAL FITNESS

POSITION: Podcast Host NATURE: Podcast Channel INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 05/23/2024

ADDRESS: 818 N Mountain Ave., Suite #200, Upland CA 91786, United States

DESCRIPTION: Anything discussed in this podcast is concept only. Securities or insurance products will not be discussed. Financial Investing 101: Difference between NQ and Q/ Types of accounts. Difference between Financial Advisors and how they run their business-Trust 101: Terminology-When we bring guest speaker, topics will vary. These episodes will discuss the guest profession-Examples of speakers will include:-Fitness Instructors; Discuss Fitness & Impact on everyday life-Doctors: Discuss Health related Topics-Different Business Owners: Discuss how they built their business and share their expertise

7. 1ON1 FINANCIAL EDUCATION

POSITION: Educator NATURE: A financial platform dedicated to financial education for people of all ages regarding budgeting, investing, retirement, debt, taxation and money management INVESTMENT RELATED: No NUMBER OF HOURS: 5

SECURITIES TRADING HOURS: 0 START DATE: 09/06/2024

ADDRESS: 818 N. Mountain Ave., Suite #200, Upland CA 91786, United States

DESCRIPTION: Developing comprehensive online courses to educate users on various financial topics.

8. JENNIFER L. FIELD ESQ. ESTATE PLANNING

POSITION: Estate Planner NATURE: The Law Office of Jennifer L. Field / Estate Planning INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 2 START DATE: 06/10/2025

ADDRESS: 818 N Mountain Ave Ste 200, Upland CA 91786, United States

DESCRIPTION: Help to facilitate the establishment of estate planning documents with attorneys through The Law Office of Jennifer L. Field.

9. PHILIP A BOARD AS AUTHOR

POSITION: Author NATURE: Authoring Book, Educational INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 03/06/2024

ADDRESS: 818 N Mountain Ave, Ste 200, Upland CA 91786, United States

DESCRIPTION: Co-Authoring a book : "Modern Retirement Co-Authoring Book: "Mind Over Money"



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

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:	Individual
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	During the period 2020 through the filing of this arbitration, the customers allege that the Registered Representative misrepresented an unsuitable high-risk, illiquid investment and breached his fiduciary duty.
Product Type:	Debt-Corporate
Alleged Damages:	\$60,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant does not allege a specific compensatory damage amount but rather seeks "Rescission of Claimants' purchase" and "Reasonable attorney's fees" As such, the Firm has made a good faith determination that the compensatory damages potentially exceed \$5,000.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	22-01596
Date Notice/Process Served:	07/22/2022
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/30/2023



Monetary Compensation Amount: \$33,000.00

Individual Contribution Amount: \$0.00

Broker Statement I vehemently deny any wrongdoing and assert that the customer's allegations are completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer's, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.



End of Report

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