



## IAPD Report

# CHARLES PAUL KATERIDGE

CRD# 2481595

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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

### CHARLES PAUL KATERIDGE (CRD# 2481595)

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
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	02/21/2025
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	02/24/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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	IC ADVISORY SERVICES, INC.	140190	ST JAMES, NY	08/03/2016 - 02/21/2025
B	THE INVESTMENT CENTER, INC.	17839	ST. JAMES, NY	08/02/2016 - 02/21/2025
IA	INVESTORS CAPITAL ADVISORY	30613	SMITHTOWN, NY	09/16/2008 - 08/04/2016

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	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 **31** 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	02/24/2025
B	Alabama	Agent	Approved	02/26/2025
B	Alaska	Agent	Approved	03/06/2025
B	Arizona	Agent	Approved	03/03/2025
IA	California	Investment Adviser Representative	Approved	02/21/2025
B	California	Agent	Approved	02/24/2025
B	Connecticut	Agent	Approved	02/24/2025
B	Florida	Agent	Approved	02/25/2025
B	Georgia	Agent	Approved	02/25/2025
B	Hawaii	Agent	Approved	03/10/2025
B	Idaho	Agent	Approved	02/24/2025
B	Indiana	Agent	Approved	02/27/2025
B	Iowa	Agent	Approved	02/24/2025



### Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	02/26/2025
B Louisiana	Agent	Approved	02/26/2025
B Maryland	Agent	Approved	02/28/2025
B Massachusetts	Agent	Approved	03/04/2025
B Michigan	Agent	Approved	02/26/2025
B Minnesota	Agent	Approved	02/26/2025
B Missouri	Agent	Approved	02/26/2025
B New Hampshire	Agent	Approved	03/05/2025
B New Jersey	Agent	Approved	02/24/2025
IA New York	Investment Adviser Representative	Approved	02/24/2025
B New York	Agent	Approved	02/25/2025
B North Carolina	Agent	Approved	02/27/2025
B Ohio	Agent	Approved	03/10/2025
B Pennsylvania	Agent	Approved	02/26/2025
B Puerto Rico	Agent	Approved	03/10/2025
B Rhode Island	Agent	Approved	02/25/2025
IA South Carolina	Investment Adviser Representative	Approved	10/09/2025
B Texas	Agent	Approved	02/24/2025
B Virginia	Agent	Approved	02/26/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Washington	Agent	Approved	02/26/2025
<b>B</b> Wisconsin	Agent	Approved	02/25/2025

### Branch Office Locations

**CENTAURUS FINANCIAL, INC.**  
Saint James, NY



## 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, 2 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
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	General Securities Representative Examination (S7)	Series 7	08/21/2008
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#### State Securities Law Exams

Exam	Category	Date
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		Uniform Combined State Law Examination (S66)	Series 66	09/05/2008
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	Uniform Securities Agent State Law Examination (S63)	Series 63	05/26/1994
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### 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	08/03/2016 - 02/21/2025	IC ADVISORY SERVICES, INC.	CRD# 140190	ST JAMES, NY
B	08/02/2016 - 02/21/2025	THE INVESTMENT CENTER, INC.	CRD# 17839	ST. JAMES, NY
IA	09/16/2008 - 08/04/2016	INVESTORS CAPITAL ADVISORY	CRD# 30613	SMITHTOWN, NY
B	08/22/2008 - 08/04/2016	INVESTORS CAPITAL CORP.	CRD# 30613	SMITHTOWN, NY
B	12/23/1999 - 04/09/2001	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA
B	08/11/1994 - 12/04/1996	KENSINGTON WELLS INCORPORATED	CRD# 30570	
B	08/11/1994 - 08/22/1994	CONTINENTAL BROKER-DEALER CORP.	CRD# 14048	CARLE PLACE, 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
02/2025 - Present	Centaurus Financial, Inc.	Registered Representative	Y	Anaheim, CA, United States
08/2016 - 02/2025	IC ADVISORY SERVICES INC	REGISTERED REPRESENTATIVE	Y	ST. JAMES, NY, United States
08/2016 - 02/2025	THE INVESTMENT CENTER INC	REGISTERED REPRESENTATIVE	Y	ST. JAMES, NY, United States
04/2008 - 08/2016	INVESTORS CAPITAL CORPORATION	RECRUITER	Y	LYNNFIELD, MA, 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. CHARLES ANTHONY ENTERPRISES INC



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

POSITION: President/Owner NATURE: Corporation for tax purposes INVESTMENT RELATED: No NUMBER OF HOURS: 0  
SECURITIES TRADING HOURS: 0 START DATE: 01/01/2008  
ADDRESS: 257 Cambon Ave, St James NY 11780, United States  
DESCRIPTION: Corporation for tax purposes

#### 2. KEYSTONE REALTY USA

POSITION: Partner NATURE: ALL REAL ESTATE RELATED ACTICITIES INCLUDING BUT NOT LIMITED TO SALES, PERSONAL R.E HOLDINGS OR RENTAL PROPERTIES, ADMINISTRATION ETC. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2008  
ADDRESS: 211 S 4th Street, Lindenhurst NY 11757, United States  
DESCRIPTION: REAL ESTATE AGENT, OWNER, INCLUDING BUT NOT LIMITED TO ADMINISTRATION ALL REAL ESTATE RELATED ACTIVITIES INCLUDING BUT NOT LIMITED TO SALES, PERSONAL R.E HOLDINGS OR RENTAL PROPERTIES, ADMINISTRATION ETC.

#### 3. CMDK PROPERTY LLC

POSITION: Partner NATURE: 3. REAL ESTATE PROPERTY. OWNER PURCHASED PROPERTY. RENTAL INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 04/22/2021  
ADDRESS: 211 S 4th Street, Lindenhurst NY 11757, United States  
DESCRIPTION: REAL ESTATE PROPERTY. OWNER-PURCHASED RENTAL PROPERTY.



## 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	2

### 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 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	ILLINOIS SECURITIES DEPARTMENT
<b>Sanction(s) Sought:</b>	Revocation
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	01/04/2000
<b>Docket/Case Number:</b>	9900520
<b>Employing firm when activity occurred which led to the regulatory action:</b>	FIRST ALLIED SECURITIES, INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	THE RESPONENT'S SALESPERSON REGISTRATION IN ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO A NASDR ACCEPTED LETTER OF ACCEPTANCE, WAIVER AND CONSENT, COMPLAINT NUMBER C 10990131.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	05/09/2000
<b>Sanctions Ordered:</b>	
<b>Other Sanctions Ordered:</b>	CONSENT TO WITHDRAW HS SALESPERSON REGISTRATION IN ILLINOIS.
<b>Sanction Details:</b>	RESPONDENT SHALL CAUSE TO HAVE HIS REGISTRATION AS A SALESPERSON IN ILLINOIS WITHDRAWN WITHIN 3 DAYS FROM THE ENTRY



OF THIS CONSENT ORDER AND SHALL NOT RE-APPLY FOR REGISTRATION FOR A PERIOD OF 3 YEARS FROM THE DATE OF THE ENTRY OF THIS CONSENT ORDER. RESPONDENT SHALL PAY \$500.00 FOR CERTAIN COST OF INVESTIGATION IN THIS MATTER.

**Regulator Statement**

A NOTICE OF HEARING, ISSUED JANUARY 4, 2000. THE HEARING WILL BE HELD MARCH 1, 2000. A CONSENT ORDER OF WITHDRAWAL, ISSUED MAY 9, 2000.

CONTACT: (217) 785-4948

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** STATE OF ILLINOIS  
**Sanction(s) Sought:**  
**Other Sanction(s) Sought:**  
**Date Initiated:** 04/11/2000  
**Docket/Case Number:** 9900520  
**Employing firm when activity occurred which led to the regulatory action:** FIRST ALLIED SECURITIES INC  
**Product Type:** Other  
**Other Product Type(s):** NO PRODUCT  
**Allegations:** RR ENTERED INTO A STIPULATION TO ENTER CONSENT ORDER OF WITHDRAWAL WITH THE STATE OF ILLINOIS IN CONNECTION WITH ENTERING INTO AN AWC WITH THE NASD IN 1999  
**Current Status:** Final  
**Resolution:** Consent  
**Resolution Date:** 04/04/2000

**Disclosure 2 of 2**

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.  
**Sanction(s) Sought:** Suspension  
**Date Initiated:** 08/27/1999  
**Docket/Case Number:** C10990131  
**Employing firm when activity occurred which led to the regulatory action:** KENSINGTON WELLS, INC.  
**Product Type:**  
**Allegations:** RESPONDENT MEMBER: ENGAGED IN TRADING, IN THE ACCOUNT OF A CUSTOMER, WHICH WAS EXCESSIVE IN LIGHT OF THE CUSTOMER'S



FINANCIAL SITUATION AND INVESTMENT OBJECTIVES; MISREPRESENTED THE SIGNIFICANCE OF AN ACTIVITY LETTER WHEN HE TOLD A CUSTOMER THAT THE CUSTOMER HAD TO SIGN THE LETTER IN ORDER TO MAKE MONEY. (NASD RULES 2110, 2310)

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 08/27/1999

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Requalification  
Restitution  
Suspension

**Regulator Statement** SUSPENSION OF THIRTY (30) BUSINESS DAYS FROM ASSOCIATION WITH ANY MEMBER IN ANY CAPACITY. THE SUSPENSION SHALL BEGIN ON A DATE DETERMINED BY THE PRESIDENT OF NASDR; RESTITUTION TO THE CUSTOMER IN AN AMOUNT AND UNDER TERMS NEGOTIATED WITH, AND ACCEPTABLE TO, SAID CUSTOMER. THE TERMS AND CONDITIONS ARE DESCRIBED IN THE STIPULATION OF SETTLEMENT AND RELEASE, DATED SEPTEMBER 16, 1997; REQUALIFICATION AS A GENERAL SECURITIES REPRESENTATIVE ("SERIES 7") WITHIN 90 DAYS FROM THE DATE THIS AWC IS ISSUED BY THE NASD. IF THE RESPONDENT FAILS TO REQUALIFY WITHIN THIS MANDATED PERIOD, HE WILL SUSPEND FROM ASSOCIATION WITH ANY MEMBER FIRM IN THAT CAPACITY UNTIL SUCH EXAMINATION IS SUCCESSFULLY COMPLETED; \$15,000.00 FINE.  
12-07-99, THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON OCTOBER 18, 1999 AND CONCLUDE AT THE CLOSE OF BUSINESS ON NOVEMBER 29, 1999.  
FINES PAID ON FEBRUARY 13, 2008.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:** Restitution

**Other Sanction(s) Sought:** REQUALIFICATION; \$15,000 FINE

**Date Initiated:** 08/27/1999

**Docket/Case Number:** C10990131

**Employing firm when activity occurred which led to the regulatory action:** KENSINGTON WELLS INC

**Product Type:** Other

**Other Product Type(s):**

**Allegations:** ENGAGED IN TRADING IN THE ACCOUNT OF A SUCTOMER WHICH WAS EXCESSIVE IN LIGHT OF THE CUSTOMER'S FINANCIAL SITUATION AND INVESTMENT OBJECTIVES. MISREPRESENTED THE SIGNIFICANCE OF AN ACTIVITY LETTER WHEN HE TOLD A CUSTOMER THAT THE CUSTOMER HAD TO SIGN THE LETTER IN ORDER TO MAKE MONEY. (NASD RULES 2110, 2310)

**Current Status:** Final



**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 08/27/1999

**Sanctions Ordered:** Disgorgement/Restitution  
Monetary/Fine \$15,000.00  
Suspension

**Other Sanctions Ordered:** REQUALIFICATION

**Sanction Details:** SUSPENSION OF 30 BUSINESS DAYS FROM ASSOCIATION WITH ANY MEMBER IN ANY CAPACITY. THE SUSPENSION SHALL BEGIN ON A DATE DETERMINED BY THE PRESIDENT OF NASDR; RESTITUTION TO THE CUSTOMER IN AN AMOUNT AND UNDER TERMS NEGOTIATED WITH AND ACCEPTABLE TO SAID CUSTOMER. THE TERMS AND CONDITIONS ARE DESCRIBED IN THE STIPULATION OF SETTLEMENT AND RELEASE DATED SEPTEMBER 16, 1997; REQUALIFICATION AS A GENERAL SECURITIES REPRESENTATIVE (SERIES 7) WITHIN 90 DAYS FROM THE DATE THIS AWC IS ISSUED BY THE NASD. IF THE RESPONDENT FAILS TO REQUALITY WITHIN THIS MANDATED PERIOD HE WILL SUSPEND FROM ASSOCIATION WITH ANY MEMBER FIRM IN THAT CAPACITY UNTIL SUCH EXAMINATION IS SUCCESSFULLY COMPLETED; \$15,000 FINE.



## End of Report

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