



IAPD Report

BRETT F EWING

CRD# 2904608

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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

BRETT F EWING (CRD# 2904608)

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 **12/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	07/09/2007
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	01/17/2008

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
B	ING FINANCIAL PARTNERS, INC.	2882	TALLAHASSEE, FL	03/25/2002 - 07/19/2007
B	METROPOLITAN INVESTMENT SECURITIES, INC.	14146	SPOKANE, WA	10/17/2000 - 03/06/2002
B	INTERFIRST CAPITAL CORPORATION	7659	LOS ANGELES, CA	04/10/2000 - 07/05/2000

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	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 **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	07/09/2007
B	FINRA	General Securities Representative	Approved	07/09/2007
B	Alabama	Agent	Approved	06/06/2008
IA	Alabama	Investment Adviser Representative	Approved	01/24/2012
B	Arizona	Agent	Approved	09/18/2025
B	California	Agent	Approved	09/22/2020
IA	California	Investment Adviser Representative	Approved	09/22/2020
B	Colorado	Agent	Approved	06/20/2013
IA	Colorado	Investment Adviser Representative	Approved	10/25/2018
B	Delaware	Agent	Approved	02/09/2022
IA	Delaware	Investment Adviser Representative	Approved	02/14/2022
B	District of Columbia	Agent	Approved	08/02/2024
IA	District of Columbia	Investment Adviser Representative	Approved	08/27/2024



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	07/09/2007
IA	Florida	Investment Adviser Representative	Approved	01/17/2008
B	Georgia	Agent	Approved	07/09/2007
IA	Georgia	Investment Adviser Representative	Approved	01/06/2011
B	Illinois	Agent	Approved	10/02/2018
IA	Illinois	Investment Adviser Representative	Approved	10/03/2018
IA	Indiana	Investment Adviser Representative	Approved	03/11/2025
B	Indiana	Agent	Approved	03/14/2025
B	Kansas	Agent	Approved	05/29/2019
IA	Kansas	Investment Adviser Representative	Approved	06/05/2019
B	Kentucky	Agent	Approved	11/20/2017
IA	Kentucky	Investment Adviser Representative	Approved	11/20/2017
B	Louisiana	Agent	Approved	05/24/2019
IA	Louisiana	Investment Adviser Representative	Approved	05/28/2019
B	Maryland	Agent	Approved	04/15/2024
IA	Maryland	Investment Adviser Representative	Approved	04/15/2024
IA	Massachusetts	Investment Adviser Representative	Approved	04/17/2012
B	Massachusetts	Agent	Approved	08/06/2018
IA	Michigan	Investment Adviser Representative	Approved	08/18/2011



Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	08/23/2011
B	Minnesota	Agent	Approved	02/28/2019
IA	Minnesota	Investment Adviser Representative	Approved	03/01/2019
IA	Mississippi	Investment Adviser Representative	Approved	03/16/2012
B	Missouri	Agent	Approved	07/11/2018
IA	Missouri	Investment Adviser Representative	Approved	07/12/2018
B	New Mexico	Agent	Approved	04/08/2010
IA	New York	Investment Adviser Representative	Approved	08/24/2022
B	North Carolina	Agent	Approved	11/02/2010
IA	North Carolina	Investment Adviser Representative	Approved	01/30/2012
B	Oklahoma	Agent	Approved	01/04/2023
IA	Oklahoma	Investment Adviser Representative	Approved	02/21/2023
B	Oregon	Agent	Approved	01/03/2017
IA	Oregon	Investment Adviser Representative	Approved	01/09/2017
B	Pennsylvania	Agent	Approved	11/03/2017
IA	Pennsylvania	Investment Adviser Representative	Approved	11/06/2017
B	South Carolina	Agent	Approved	05/21/2014
IA	South Carolina	Investment Adviser Representative	Approved	11/02/2017
B	Texas	Agent	Approved	01/04/2016



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	05/07/2019
B Utah	Agent	Approved	01/25/2012
IA Utah	Investment Adviser Representative	Approved	07/11/2013
B Vermont	Agent	Approved	11/21/2017
IA Vermont	Investment Adviser Representative	Approved	11/30/2017
B Virginia	Agent	Approved	03/27/2014
IA Virginia	Investment Adviser Representative	Approved	05/03/2018
B Washington	Agent	Approved	10/02/2012
IA Washington	Investment Adviser Representative	Approved	10/02/2012
B West Virginia	Agent	Approved	08/13/2025
IA West Virginia	Investment Adviser Representative	Approved	08/18/2025
B Wisconsin	Agent	Approved	07/23/2025
IA Wisconsin	Investment Adviser Representative	Approved	07/24/2025

Branch Office Locations

CENTAURUS FINANCIAL, INC.
2100 FLEISCHMANN ROAD
TALLAHASSEE, FL 32308

CENTAURUS FINANCIAL, INC.
397 PALM COAST PARKWAY SW
SUITE #301
PALM COAST, FL 32164




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




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	06/08/2002

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	11/26/2001
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/11/1997

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	11/28/2007
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/12/2004

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	03/25/2002 - 07/19/2007	ING FINANCIAL PARTNERS, INC.	CRD# 2882	TALLAHASSEE, FL
B	10/17/2000 - 03/06/2002	METROPOLITAN INVESTMENT SECURITIES, INC.	CRD# 14146	SPOKANE, WA
B	04/10/2000 - 07/05/2000	INTERFIRST CAPITAL CORPORATION	CRD# 7659	LOS ANGELES, CA
B	08/24/1999 - 04/10/2000	SAN CLEMENTE SECURITIES, INC.	CRD# 21895	SAN CLEMENTE, CA
B	07/14/1997 - 04/26/1999	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA

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
07/2007 - Present	CENTAURUS FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	ORANGE, CA, United States
07/2002 - Present	TALLAHASSEE LIONS CLUB	SECRETARY	N	TALLAHASSEE, FL, 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.

ESTATE PLANNING TEAM, NON-INVESTMENT RELATED, 45110 CLUB DRIVE, INDIAN WELLS, CA 92210, PROSPECTING TO CLIENTS TO EXPLAIN OR EDUCATE THEM ON DEFERRED SALES TRUST STRATEGY, MEMBER, SINCE 11/1/2016. FIRST FRANKLIN ADVISORS, LLC DBA TALLAHASSEE ECONOMIC INDEX, NON-INVESTMENT RELATED, 2528 BARRINGTON CIRCLE, SUITE #1, TALLAHASSEE, FL 32308, RUN, MANAGE, OVERSEE AND MAINTAIN A LOCAL COMMUNITY RESEARCH PROJECT TO CREATE A LOCAL ECONOMIC INDEX THAT GAUGES BUSINESS ACTIVITY IN OUR COMMUNITY, OWNER, SINCE 5/1/2013, DEVOTED TIME IS 10 HRS A MONTH, OVERSEE THE DATA ENTRY INTO THE INDEX, TAKE A LOOK AT THE FINAL PRODUCT. DBA FIRST FRANKLIN FINANCIAL SERVICES, MANAGER, 2528 BARRINGOTN CIRCLE, #1, TALLAHASSEE, FL 32308, BRANDING PURPOSES ONLY, DEVOTED TIME IS 160 HRS A MONTH, NON-INVESTMENT RELATED.



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	2

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:	Individual
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	The customer alleges that the Registered Representative recommended an unsuitable investment and investment strategies in an illiquid alternative investment. No specific dates for the alleged activity were identified in the Statement of Claim.
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant does not allege a specific compensatory damage amount but rather seeks "Compensatory damages in an unspecified amount or alternatively, well managed portfolio damages." As such, the Firm has made a good faith determination that the compensatory damages potentially exceed \$5,000.
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 #:	23-03450



Filing date of arbitration/CFTC reparation or civil litigation: 12/13/2023

Customer Complaint Information

Date Complaint Received: 12/19/2023

Complaint Pending? No

Status: Settled

Status Date: 12/23/2024

Settlement Amount: \$9,500.00

Individual Contribution Amount: \$0.00

Broker Statement I vehemently denied any wrongdoing and assert that the customer's allegations were 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, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTAURUS FINANCIAL, INC.

Allegations: UNSUITABLE INVESTMENT ALLOCATION IN A VARIABLE ANNUITY PURCHASED IN DECEMBER 2007

Product Type: Annuity-Variable

Alleged Damages: \$58,446.00

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: 06/01/2010

Complaint Pending? No

Status: Denied

Status Date: 06/18/2010

Settlement Amount:

Individual Contribution Amount:



End of Report

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