IAPD Report

KENNETH ALFRED MCCABE

CRD# 2980438

Section Title | **Page(s)**

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

KENNETH ALFRED MCCABE (CRD# 2980438)

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 **03/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	09/24/2011
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	02/29/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	VALPARASIO, IN	11/22/1999 - 01/26/2006
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	MINNEAPOLIS, MN	10/19/1999 - 01/26/2006
B	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	10/19/1999 - 01/26/2006

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	4
Judgment/Lien	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 **23** 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	09/24/2011
IA	Arizona	Investment Adviser Representative	Approved	09/27/2023
B	Arizona	Agent	Approved	03/12/2024
B	Arkansas	Agent	Approved	11/09/2022
IA	Arkansas	Investment Adviser Representative	Approved	11/21/2024
B	California	Agent	Approved	01/17/2012
IA	California	Investment Adviser Representative	Approved	02/29/2012
B	Colorado	Agent	Approved	04/04/2024
IA	Colorado	Investment Adviser Representative	Approved	04/04/2024
B	Georgia	Agent	Approved	10/10/2023
IA	Georgia	Investment Adviser Representative	Approved	10/10/2023
IA	Idaho	Investment Adviser Representative	Approved	12/11/2023
B	Illinois	Agent	Approved	09/26/2014

Qualifications

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	07/12/2024
B	Indiana	Agent	Approved	03/11/2014
IA	Indiana	Investment Adviser Representative	Approved	03/11/2014
B	Iowa	Agent	Approved	10/16/2020
IA	Iowa	Investment Adviser Representative	Approved	03/22/2024
B	Minnesota	Agent	Approved	06/27/2024
IA	Minnesota	Investment Adviser Representative	Approved	06/27/2024
B	Nebraska	Agent	Approved	06/24/2014
B	Nevada	Agent	Approved	07/10/2014
IA	Nevada	Investment Adviser Representative	Approved	08/14/2019
IA	North Carolina	Investment Adviser Representative	Approved	09/08/2023
B	North Carolina	Agent	Approved	09/14/2023
B	Ohio	Agent	Approved	10/27/2023
IA	Ohio	Investment Adviser Representative	Approved	10/27/2023
B	Oklahoma	Agent	Approved	03/08/2024
IA	Oklahoma	Investment Adviser Representative	Approved	03/08/2024
B	Oregon	Agent	Approved	05/25/2016
IA	Oregon	Investment Adviser Representative	Approved	10/10/2023
B	Pennsylvania	Agent	Approved	06/24/2014

Qualifications

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	01/08/2020
IA	South Carolina	Investment Adviser Representative	Approved	07/16/2025
B	Tennessee	Agent	Approved	02/09/2026
B	Texas	Agent	Approved	10/26/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	10/03/2022
IA	Virginia	Investment Adviser Representative	Approved	05/06/2025
B	Washington	Agent	Approved	10/06/2014
IA	Washington	Investment Adviser Representative	Approved	03/25/2020
IA	Wisconsin	Investment Adviser Representative	Approved	02/13/2026

Branch Office Locations

CENTAURUS FINANCIAL, INC.
8501 FALLBROOK AVENUE
SUITE #220
WEST HILLS, CA 91304

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/22/2011
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/25/1997

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/13/2012
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/14/1998

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	11/22/1999 - 01/26/2006	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	VALPARASIO, IN
B	10/19/1999 - 01/26/2006	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN
B	10/19/1999 - 01/26/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	11/28/1997 - 06/16/1999	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA

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
09/2011 - Present	CENTAURUS FINANICAL, 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.

VS ASSOCIATES
POSITION: Registered Rep NATURE: Disclosing DBA for branding purposes only. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 03/01/2012
ADDRESS: 8501 Fallbrook Ave. #220, West Hills CA 91304, United States
DESCRIPTION: Disclosing DBA for branding purposes only.

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	4
Judgment/Lien	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 1

Reporting Source:	Individual
Regulatory Action Initiated By:	INDIANA
Sanction(s) Sought:	Suspension
Date Initiated:	05/14/2013
Docket/Case Number:	13-0072SS
Employing firm when activity occurred which led to the regulatory action:	CENTAURUS FINANCIAL, INC.
Product Type:	No Product
Allegations:	ON MAY 14, 2013, THE INDIANA SECURITIES DIVISION ENTERED AN ORDER OF SUMMARY SUSPENSION AGAINST THE RESPONDENT, KENNETH MCCABE, FOR FAILING TO COMPLY WITH A COURT ORDER IMPOSING A CHILD SUPPORT OBLIGATION.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	05/14/2013
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	GENERAL SECURITIES PRINCIPAL, FINANCIAL OPERATIONS PRINCIPAL, ALL CAPACITIES, ETC.
Duration:	INDEFINITE
Start Date:	05/14/2013
End Date:	02/06/2014

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	The customer alleges that on July 12, 2021, the Registered Representative recommended an unsuitable, high-risk, illiquid investment.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Pursuant to the statement of claim, the damage amount is to be determined by the arbitration panel.
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 #:	25-02586
Filing date of arbitration/CFTC reparation or civil litigation:	12/17/2025

Customer Complaint Information

Date Complaint Received:	12/22/2025
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I vehemently deny any wrongdoing and assert that the allegations are completely without merit. The investments about which the customer complained were in the customers best interest and were recommended based on the customer's objectives, goals and financial circumstances and were offered only after her review of all material documentation related to the investment. The customer confirmed in writing that they not only received the requisite investment documentation/disclosures, but that she fully understood the characteristics and risks of the investments. At all times, I put the customer's interest first and I will vigorously defend this matter to the fullest extent of the law.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	The customer alleges that in March 2015, the Registered Representative recommended unsuitable, high-risk, illiquid investments.
Product Type:	Real Estate Security
Alleged Damages:	$45,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	25-01246
Date Notice/Process Served:	07/07/2025
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/20/2026
Monetary Compensation Amount:	$9,000.00
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 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	During the period 2014 through 2018, the customer alleges that the Registered Representative misrepresented high commission illiquid and unsuitable investments.
Product Type:	Real Estate Security
Alleged Damages:	$178,000.00
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 #:	21-02529
Filing date of arbitration/CFTC reparation or civil litigation:	11/19/2021

Customer Complaint Information

Date Complaint Received:	11/23/2021
Complaint Pending?	No
Status:	Settled
Status Date:	01/25/2023
Settlement Amount:	$95,000.00
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, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Centaurus Financial, Inc.
Allegations:	During the period October 2014 through December 2019, the customer alleges that the investments made through the Registered Representative performed poorly.
Product Type:	Real Estate Security
Alleged Damages:	$65,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-01329
Date Notice/Process Served:	05/06/2020
Arbitration Pending?	No
Disposition:	Other: The firm agreed to purchase the securities from the client for $51,975.34
Disposition Date:	07/02/2020
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00

Broker Statement	I vehemently deny any wrongdoing and assert that the allegations are completely without merit. The investments about which the customer complained were suitable and were recommended based on the customer's objectives, goals and financial circumstances and were offered only after her review of all material documentation related to the investment. The customer confirmed in writing that she not only received the requisite investment documentation/disclosures, but that she fully understood the characteristics and risks of the investments. At all times, I put the customer's interest first and I will vigorously defend this matter to the fullest extent of the law.

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	STATE OF CALIFORNIA
Judgment/Lien Amount:	$121,024.13
Judgment/Lien Type:	Tax
Date Filed with Court:	05/11/2023
Date Individual Learned:	06/12/2023
Type of Court:	State Court
Name of Court:	STATE OF CALIFORNIA
Location of Court:	ORANGE, CALIFORNIA
Docket/Case #:	2023000109807
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICES
Judgment/Lien Amount:	$199,366.67
Judgment/Lien Type:	Tax
Date Filed with Court:	10/01/2019
Date Individual Learned:	10/28/2019
Type of Court:	IRS
Name of Court:	INTERNAL REVENUE SERVICE
Location of Court:	ORANGE COUNTY, CALIFORNIA
Docket/Case #:	2019000380653
Judgment/Lien Outstanding?	Yes

End of Report

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