



IAPD Report

ORION KELLY WILLIS

CRD# 4047415

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 7
Registration and Employment History	8 - 9
Disclosure Information	10

i 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

ORION KELLY WILLIS (CRD# 4047415)

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 **04/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	11/08/2013
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	12/04/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	INVEST FINANCIAL CORPORATION	12984	SUN CITY WEST, AZ	05/11/2007 - 11/12/2013
B	INVEST FINANCIAL CORPORATION	12984	SUN CITY WEST, AZ	04/30/2007 - 11/12/2013
IA	CENTAURUS FINANCIAL, INC.	30833	SUN CITY WEST, AZ	06/22/2005 - 05/01/2007

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	2
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 **34** 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	11/08/2013
B	FINRA	General Securities Representative	Approved	11/08/2013
B	FINRA	Invest. Co and Variable Contracts	Approved	11/08/2013
B	Alabama	Agent	Approved	10/21/2020
IA	Alabama	Investment Adviser Representative	Approved	09/14/2022
B	Alaska	Agent	Approved	06/28/2024
IA	Alaska	Investment Adviser Representative	Approved	06/28/2024
B	Arizona	Agent	Approved	12/04/2013
IA	Arizona	Investment Adviser Representative	Approved	12/04/2013
B	Arkansas	Agent	Approved	10/29/2021
IA	Arkansas	Investment Adviser Representative	Approved	09/14/2022
B	California	Agent	Approved	11/08/2013
IA	California	Investment Adviser Representative	Approved	09/14/2022



Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	11/08/2013
B	Connecticut	Agent	Approved	09/14/2022
IA	Connecticut	Investment Adviser Representative	Approved	09/14/2022
B	Florida	Agent	Approved	07/08/2021
IA	Florida	Investment Adviser Representative	Approved	09/14/2022
B	Georgia	Agent	Approved	11/08/2013
IA	Georgia	Investment Adviser Representative	Approved	09/15/2022
B	Idaho	Agent	Approved	11/25/2020
IA	Idaho	Investment Adviser Representative	Approved	09/14/2022
B	Illinois	Agent	Approved	05/04/2022
IA	Illinois	Investment Adviser Representative	Approved	06/21/2022
B	Indiana	Agent	Approved	04/08/2020
IA	Indiana	Investment Adviser Representative	Approved	09/14/2022
B	Iowa	Agent	Approved	12/04/2013
IA	Iowa	Investment Adviser Representative	Approved	09/15/2022
B	Kansas	Agent	Approved	09/14/2022
IA	Kansas	Investment Adviser Representative	Approved	09/14/2022
B	Kentucky	Agent	Approved	09/16/2022
IA	Kentucky	Investment Adviser Representative	Approved	09/16/2022



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	11/08/2013
IA Michigan	Investment Adviser Representative	Approved	09/15/2022
B Minnesota	Agent	Approved	11/08/2013
IA Minnesota	Investment Adviser Representative	Approved	09/16/2022
B Missouri	Agent	Approved	09/15/2022
IA Missouri	Investment Adviser Representative	Approved	09/15/2022
B Nebraska	Agent	Approved	05/26/2022
IA Nebraska	Investment Adviser Representative	Approved	09/14/2022
B Nevada	Agent	Approved	12/06/2013
IA Nevada	Investment Adviser Representative	Approved	09/22/2022
B New Jersey	Agent	Approved	09/14/2022
IA New Jersey	Investment Adviser Representative	Approved	09/14/2022
B New York	Agent	Approved	04/27/2023
IA New York	Investment Adviser Representative	Approved	04/27/2023
B North Carolina	Agent	Approved	09/14/2022
IA North Carolina	Investment Adviser Representative	Approved	09/21/2022
B North Dakota	Agent	Approved	09/19/2022
IA North Dakota	Investment Adviser Representative	Approved	09/19/2022
B Ohio	Agent	Approved	09/14/2022



Qualifications

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	09/14/2022
B Oregon	Agent	Approved	09/16/2022
IA Oregon	Investment Adviser Representative	Approved	09/16/2022
B South Carolina	Agent	Approved	09/14/2022
IA South Carolina	Investment Adviser Representative	Approved	09/14/2022
B South Dakota	Agent	Approved	09/14/2022
IA South Dakota	Investment Adviser Representative	Approved	09/14/2022
B Texas	Agent	Approved	08/11/2022
IA Texas	Investment Adviser Representative	Restricted Approval	09/14/2022
B Utah	Agent	Approved	10/28/2021
IA Utah	Investment Adviser Representative	Approved	09/14/2022
B Vermont	Agent	Approved	09/14/2022
IA Vermont	Investment Adviser Representative	Approved	09/14/2022
B Washington	Agent	Approved	06/08/2022
IA Washington	Investment Adviser Representative	Approved	06/23/2022
B Wisconsin	Agent	Approved	11/08/2013
IA Wisconsin	Investment Adviser Representative	Approved	09/14/2022
B Wyoming	Agent	Approved	09/16/2022



Qualifications

Regulator	Registration	Status	Date
IA Wyoming	Investment Adviser Representative	Approved	09/29/2022

Branch Office Locations

CENTAURUS FINANCIAL, INC.
13843 W. MEEKER BLVD.
SUITE #105
SUN CITY WEST, AZ 85375

CENTAURUS FINANCIAL, INC.
10031 E. DYNAMITE BLVD.
SUITE #240-B
SCOTTSDALE, AZ 85262




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	03/23/2006

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/23/2001
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/02/1999

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/23/2005
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/03/1999

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	05/11/2007 - 11/12/2013	INVEST FINANCIAL CORPORATION	CRD# 12984	SUN CITY WEST, AZ
B	04/30/2007 - 11/12/2013	INVEST FINANCIAL CORPORATION	CRD# 12984	SUN CITY WEST, AZ
IA	06/22/2005 - 05/01/2007	CENTAURUS FINANCIAL, INC.	CRD# 30833	SUN CITY WEST, AZ
B	01/30/2003 - 05/01/2007	CENTAURUS FINANCIAL, INC.	CRD# 30833	SUN CITY WEST, AZ
B	12/14/1999 - 01/09/2003	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	12/14/1999 - 01/09/2003	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, 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
11/2013 - Present	CENTAURUS FINANCIAL INC.	REGISTERED REP	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. BOARD MEMBER, PRIME WEALTH ADVISORS, LLC, 13843 W. MEEKER BLVD., #105, SUN CITY WEST, AZ, 85375. NON INVESTMENT RELATED SINCE 11/2007 AND I SPEND APPROX. ONE HOUR PER MONTH ON THIS ACTIVITY. DBA FOR BRANDING PURPOSES ONLY.

2. BOARD MEMBER, ORION WILLIS FINANCIAL SERVICES LLC, SAME ADDRESS AS ABOVE. NON INVESTMENT RELATED SINCE 2/2012. I MONITOR THE BANK ACCOUNTS TO ENSURE DEPOSITS ARE MADE AND EXPENSES ARE PAID.

3. ZOT FARMING

POSITION: Manager NATURE: Farming, Ranch, Animal raising INVESTMENT RELATED: No NUMBER OF HOURS: 10
SECURITIES TRADING HOURS: 0 START DATE: 11/10/2024
ADDRESS: 3087 N. Summer street, Buckeye AZ 85396, United States
DESCRIPTION: Farming, Ranch operations, supervision. Sell of organic animals, eggs and produce, etc.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

4.BOGYO L.L.C

POSITION: Chairman NATURE: New Artificial Intelligence Software INVESTMENT RELATED: No NUMBER OF HOURS: 5

SECURITIES TRADING HOURS: 0 START DATE: 03/28/2026

ADDRESS: 13843 W Meeker Blvd suite 105, Sun City West AZ 85375, United States

DESCRIPTION: Chairman of AI startup company. Meeting with engineers and main designer 1-2 times a month when it does not conflict with my regular duties as an investment advisor.



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	2
Customer Dispute	1

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 2

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	SUPERIOR COURT OF THE STATE OF ARIZONA
Location of Court:	COUNTY OF MARICOPA, AZ
Docket/Case #:	CR2009-166060-001
Charge Date:	10/16/2009
Charge(s) 1 of 1	
Formal Charge(s)/Description:	AGGRAVATED ASSAULT, A CLASS 3 DANGEROUS FELONY
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Reduced
Date of Amended Charge:	09/28/2010
Charge was Amended or reduced to:	DISORDERLY CONDUCT AND RECKLESS DRIVING
Amended No of Counts:	2
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	GUILTY JUDGMENT



Current Status: Final

Status Date: 09/28/2010

Disposition Date: 09/28/2010

Sentence/Penalty: 12 MONTHS PROBATION AND \$15,000 FINE; 09/28/2010 PAID

Broker Statement
I WAS A TARGET IN A ROAD RAGE INCIDENT IN WHICH I HAD TO BRANDISH A LEGALLY OWNED FIREARM WHICH I ALSO HAD A CONCEALED CARRY PERMIT FOR, AND HAD TO DRIVE AT A HIGH SPEED TO AVOID AN ASSAILANT. THERE WERE NO INJURIES OR DAMAGES, BUT I AGREED TO THE SUBSTANTIALLY REDUCED CHARGES TO AVOID THE UNCERTAINTY OF LITIGATION AND LEGAL EXPENSES. ALL ALLEGATIONS OF DANGEROUSNESS WERE DROPPED.

Disclosure 2 of 2

Reporting Source: Individual

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: CHARGES BROUGHT IN THE SUPERIOR COURT OF ARIZONA LOACATED IN MARICOPA COUNTY, AZ. CASE NUMBER: 96-92979

Charge Date: 09/09/1996

Charge Details: ONE CLASS 5 FELONY COUNT OF CRIMINAL DAMAGE. PLEAD GUILTY TO A REDUCE CHARGE OF CLASS 1 MISDEMEANOR CRIMINAL DAMAGE.

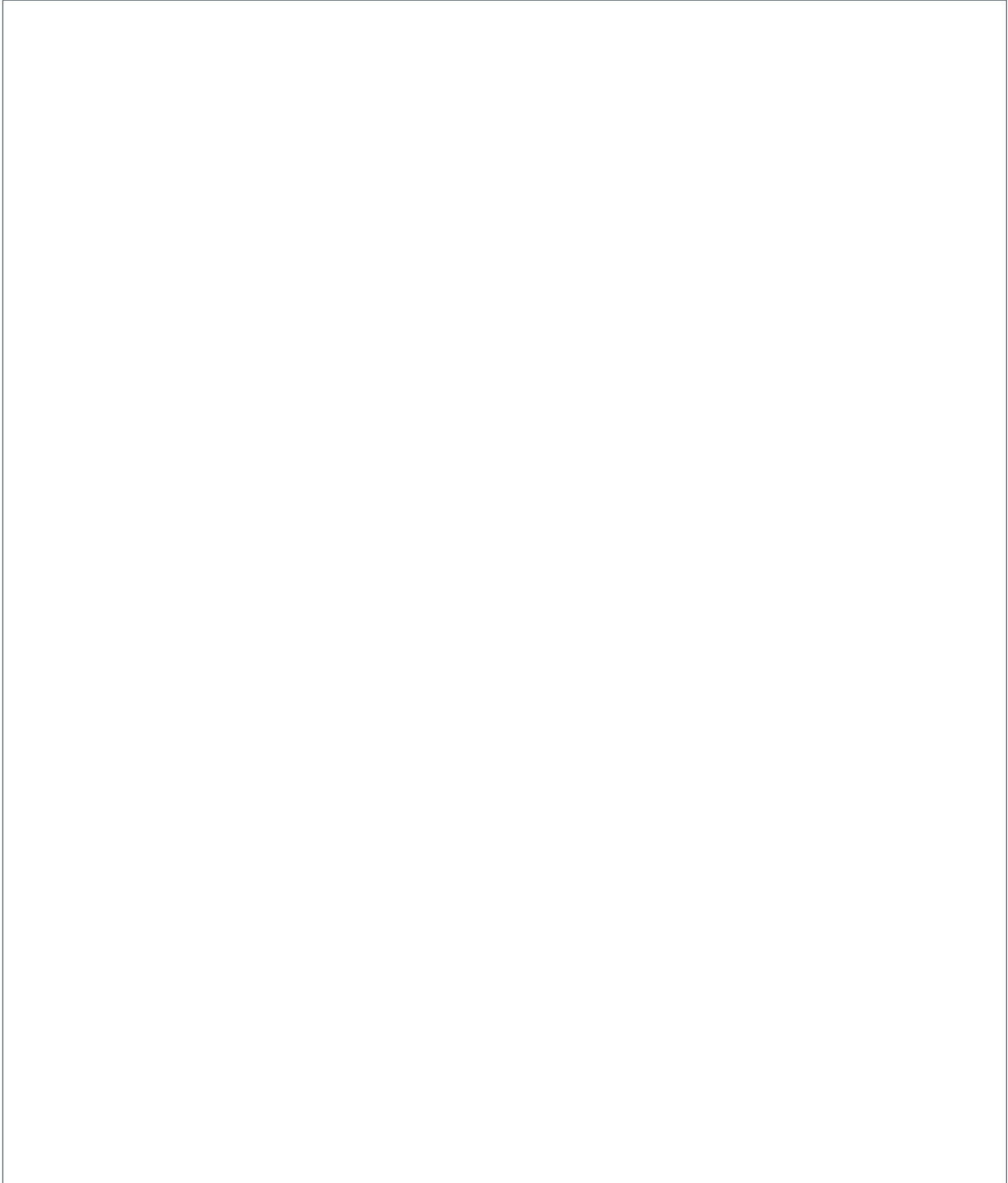
Felony? Yes

Current Status: Final

Status Date: 12/12/1996

Disposition Details: A. CONVICTED OF CRIMINAL DAMAGE, A CLASS 1 MISDEMEANOR -- B. DECEMBER 12, 1996 -- C.& D. FINED \$420.00 AND SENTENCED TO TWO YEARS PROBATION OR UNTIL THE FINE WAS PAID IN FULL -- E. DECEMBER 12, 1996 -- F. FINE AMOUNT \$420.00 -- G. FINE PAID IN FULL FEBRUARY 10, 1997 AND RELEASED FROM PROBATION.

Broker Statement
THIS IS AN INCIDENT THAT OCCURRED IN MARCH 1996 WHEN I WAS A SENIOR IN HIGH SCHOOL. I WAS CITED FOR INVOLVEMENT IN A CHILDHOOD PRANK, AS I WAS A PASSENGER IN THE BACK SEAT OF THE VEHICLE THAT DESTROYED THE CARTS. AS A RESULT, IT WAS DETERMINED THAT I WAS NOT DIRECTLY INVOLVED, AND THE COURT REDUCED THE CHARGE FROM A FELONY TO A MISDEMEANOR. THE STATE OF ARIZONA HAS SINCE EXPUNGED THE MISDEMEANOR FROM RECORD.





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:	The customer alleges that in 2024, the Registered Representative failed to follow instructions and misrepresented an illiquid investment.
Product Type:	Annuity-Fixed
Alleged Damages:	\$70,600.00
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:	01/16/2025
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/15/2025

Settlement Amount:

Individual Contribution Amount:

Broker Statement

I vehemently denied any wrongdoing and assert that the allegations are completely without merit. The investment about which the customer complained was in her best interest. Further, the investment was recommended based on the customer's objectives, goals and financial circumstances and was 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.



End of Report

This page is intentionally left blank.