



IAPD Report

CHRISTOPHER DELBERT MARTIN

CRD# 4179127

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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

CHRISTOPHER DELBERT MARTIN (CRD# 4179127)

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 **03/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	04/10/2006
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	09/14/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **Yes**

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	LIBERTY GROUP, LLC	106036	APPLE VALLEY, CA	09/30/2003 - 03/24/2006
B	INTERSECURITIES, INC.	16164	PHILADELPHIA, PA	11/14/2000 - 09/19/2003
B	TRANSAMERICA FINANCIAL RESOURCES, INC.	3600	LOS ANGELES, CA	06/26/2000 - 11/13/2000

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
Regulatory Event	1
Customer Dispute	3



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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

This individual has 3 inactive or suspended registration(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	Invest. Co and Variable Contracts	Suspended	04/10/2006
B	FINRA	General Securities Representative	Suspended	12/10/2008
B	FINRA	General Securities Principal	Suspended	08/06/2010
B	Arizona	Agent	Approved	02/08/2012
IA	Arizona	Investment Adviser Representative	Approved	04/28/2021
B	Arkansas	Agent	Approved	02/21/2018
IA	Arkansas	Investment Adviser Representative	Approved	02/22/2018
B	Idaho	Agent	Approved	09/14/2011
IA	Idaho	Investment Adviser Representative	Approved	09/14/2011
B	Illinois	Agent	Approved	05/04/2020
B	Montana	Agent	Approved	09/20/2022
IA	Montana	Investment Adviser Representative	Approved	09/20/2022



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	10/25/2016
IA Nevada	Investment Adviser Representative	Approved	10/25/2016
B New Mexico	Agent	Approved	08/17/2016
IA New Mexico	Investment Adviser Representative	Approved	08/18/2016
IA Texas	Investment Adviser Representative	Approved	01/04/2011
B Texas	Agent	Approved	09/14/2011
B Utah	Agent	Approved	08/25/2016
IA Washington	Investment Adviser Representative	Approved	02/11/2015
B Washington	Agent	Approved	02/17/2015

Branch Office Locations

CENTAURUS FINANCIAL, INC.
16191 KAMANA ROAD
SUITE #202
APPLE VALLEY, CA 92307




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	08/05/2010

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	12/09/2008
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/24/2000

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	08/19/2009
	Uniform Securities Agent State Law Examination (S63)	Series 63	07/15/2000

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	09/30/2003 - 03/24/2006	LIBERTY GROUP, LLC	CRD# 106036	APPLE VALLEY, CA
B	11/14/2000 - 09/19/2003	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA
B	06/26/2000 - 11/13/2000	TRANSAMERICA FINANCIAL RESOURCES, INC.	CRD# 3600	LOS ANGELES, CA

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
04/2006 - Present	CENTAURUS FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	ORANGE, 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. GLORIETTA MANAGEMENT GROUP INC., NON-INVESTMENT RELATED, 16191 KAMANA ROAD, SUITE #200, APPLE VALLEY, CA 92307, OFFER BUSINESS AND PERSONNEL MANAGEMENT SOLUTIONS TO NICHE BUSINESSES WHICH ALLOW OPERATORS TO FOCUS ON THEIR CORE COMPETENCIES, PRESIDENT/CFO, SINCE 3/1/2017, DEVOTED TIME IS 20 HOURS A MONTH, MANAGE THE CORPORATE ACCOUNTS AND CASH FLOW AND MAKE DAY TO DAY DECISIONS ON THE DIRECTION OF THE COMPANY.

2. ARCHANGEL FINANCIAL & INSURANCE SOLUTIONS, INVESTMENT REALTED, 16191 KAMANA ROAD, SUITE #202, APPLE VALLEY, CA 92307, DBA FOR ARCHANGEL INVESTMENT AND ADVISORY SERVICE INC., ADVISOR, SINCE 10/1/2014. ARCHANGEL FINANCIAL SERVICES, NON-INVESTMENT RELATED, 16209 KAMANA RD., #110, APPLE VALLEY, CA 92307, FIXED INSURANCE SALES, AND FINANCIAL PLANNING, SINCE 8/1/2003, DEVOTED TIME IS 5 HRS A MONTH.

3. ARCHANGEL ESTATE PLANNING

POSITION: Estate Planning Assistant NATURE: Estate Planning document preparation by licensed attorney. INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 5 START DATE: 06/01/2023 ADDRESS: 16191 Kamana Rd., Suite #202, Apple Valley CA 92307, United States DESCRIPTION: Assist attorney in gathering estate planning applications and reviewing for completeness. Assist notary in delivery of completed estate planning documents.

4. BAY VIEW FARMS INC.

POSITION: None held NATURE: State licensed cannabis cultivator. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 03/01/2017 ADDRESS: 9219 Industrial Way, Adelanto CA 92301, United States DESCRIPTION: Business is currently not active and is for sale. Prior duties were an administrative capacity, cash-flow



Registration & Employment History



OTHER BUSINESS ACTIVITIES

management and compliance.



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	3

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:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	01/14/2025
Docket/Case Number:	2023079660501
Employing firm when activity occurred which led to the regulatory action:	Centaurus Financial, Inc.
Product Type:	Other: private securities transactions

Allegations: Without admitting or denying the findings, Martin consented to the sanctions and to the entry of findings that he participated in private securities transactions related to a private offering of common stock issued by a licensed cannabis-related company that he co-founded and for which he served as a board member and executive officer without prior written notice to, or approval from, his member firm. The findings stated that Martin disclosed his role with the company to the firm as an OBA. However, Martin did not disclose his subsequent participation in the company's efforts to raise capital or receive approval from the firm to participate in such efforts. Specifically, Martin participated in the company's sale of \$4,436,381 of company stock to 106 investors through the private offering. Martin introduced certain of these investors to the investment opportunity, including his customers at his firm. In addition, Martin presented information on the offering and the company's business plan to prospective investors, answering the questions of prospective investors about the offering and the company's business, and, at times, facilitating investors' transactions by accepting investor subscription agreements. During his presentations to prospective investors, Martin provided



written disclosures that stated that he was acting in his capacity as an executive officer of the company, not as a financial advisor, and that the firm was not involved with, and did not recommend, the investment. At time of purchase, investors signed an acknowledgement form containing similar representations. Furthermore, on six annual compliance questionnaires, Martin inaccurately attested that he had not engaged in any private securities transactions, including "the raising of capital through stock, bond or note offerings."

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

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:

01/14/2025

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	two years
Start Date:	02/03/2025
End Date:	02/02/2027

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$15,000.00
Portion Levied against individual:	\$15,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	02/03/2025
Was any portion of penalty waived?	No



Amount Waived:

.....

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Date Initiated: 01/14/2025

Docket/Case Number: [2023079660501](#)

Employing firm when activity occurred which led to the regulatory action: Centaurus Financial, Inc.

Product Type: Other: Common Stock- Private Offering

Allegations: From July 2017 to October 2022, the Registered Representative participated in private securities transactions related to a private offering of common stock issued by a licensed cannabis-related company that he co-founded and for which he served as a board member and executive officer. By participating in private securities transactions without prior approval from his firm, the Registered Representative violated FINRA Rules 3280 and 2010.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 01/14/2025

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

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All Capacities

Duration: Two Years

Start Date: 02/03/2025

End Date: 02/02/2027

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$15,000.00

Portion Levied against individual: \$15,000.00

Payment Plan:



Is Payment Plan Current:

Date Paid by individual: 01/28/2025

Was any portion of penalty waived? No

Amount Waived:



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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	During the period of 2017 through 2024, the Claimant's allege that While selling shares in a Private Placement company via a Private Placement memorandum, away from Broker Dealer, the Registered Representative engaged in unfair business practices, provided untrue statements, constructive fraud, neglect misrepresentation, financial elder abuse, and breached his fiduciary duty.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Plaintiffs do not allege a specific compensatory damage amount, the Firm has made a good faith determination that the compensatory damages potentially exceed \$5,000.

Civil Litigation Information

Type of Court:	State Court
Name of Court:	SUPERIOR COURT FOR THE STATE OF CALIFORNIA
Location of Court:	COUNTY OF SAN BERNARDINO
Docket/Case #:	CIVSB2423598
Date Notice/Process Served:	08/21/2024
Litigation Pending?	Yes
Broker Statement	The allegations made by Claimants are patently false and will be defended to the fullest extent of the law. At no time did I provide any untrue statements or misrepresentations to the Claimants, nor did I act as their financial advisor or owe them any fiduciary duty as a financial advisor. Their investments were made in a separate company in which I was an investor and officer, with no connection to any advisory role. These baseless allegations will be rigorously challenged to ensure the truth is made clear.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	CLIENT ALLEGES THAT THE LIFETIME INCOME RIDER BOX ON THE INITIAL APPLICATION WAS MARKED INCORRECTLY RESULTING IN THE DELAY OF THE RIDER BENEFIT.



Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO DAMAGES WERE SPECIFIED. THE FIRM BELIEVES THE ALLEGED CONDUCT WOULD BE MORE THAN \$5,000.

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: 04/08/2013

Complaint Pending? No

Status: Closed/No Action

Status Date: 02/05/2015

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THAT THE AMOUNT OF THE DEATH BENEFIT RECOMMENDED BY THE REPRESENTATIVE EXCEEDED HER FINANCIAL NEEDS. CLIENT ALSO ALLEGES THAT SHE WAS NOT INFORMED OF THE 10 DAY FREE LOOK PERIOD AND DID NOT RECEIVE THE POLICY.

Product Type: Insurance

Alleged Damages: \$30,000.00

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: 05/17/2012

Complaint Pending? No

Status: Denied

Status Date: 06/18/2012

Settlement Amount:

Individual Contribution Amount:



Broker Statement

REPRESENTATIVE DENIES ANY WRONGDOING IN THIS TRANSACTION. THE DEATH BENEFIT WAS DISCUSSED AT LENGTH WITH THE CLIENT AND ACCOMPLISHED THE OBJECTIVES THAT WE OUTLINED DURING THE PLANNING PROCESS. WE OBTAINED FROM THE CLIENT A SIGNED POLICY DELIVERY RECEIPT THAT STATES THEY RECEIVED THE POLICY AND ACKNOWLEDGED THEIR RIGHT TO A TEN DAY FREE LOOK PERIOD.



End of Report

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