



IAPD Report

ROGER DARREN MARTIN

CRD# 4588075

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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

ROGER DARREN MARTIN (CRD# 4588075)

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 **01/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	04/24/2008
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	07/09/2008

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	CENTAURUS FINANCIAL, INC.	30833	ANAHEIM, CA	04/24/2008 - 04/28/2008
B	BRECEK & YOUNG ADVISORS, INC.	40395	GREENWOOD VILLAGE, CO	06/26/2007 - 04/25/2008
IA	BRECEK & YOUNG ADVISORS, INC.	40395	GREENWOOD VILLAGE, CO	06/26/2007 - 04/25/2008

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	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 **19** 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	Invest. Co and Variable Contracts	Approved	04/24/2008
B	FINRA	Investment Co./Variable Contracts Prin	Approved	12/18/2009
B	Arizona	Agent	Approved	06/05/2009
IA	Arizona	Investment Adviser Representative	Approved	01/06/2011
IA	California	Investment Adviser Representative	Approved	12/21/2010
B	California	Agent	Approved	03/12/2012
B	Colorado	Agent	Approved	04/28/2008
IA	Colorado	Investment Adviser Representative	Approved	07/09/2008
B	Florida	Agent	Approved	03/04/2013
IA	Florida	Investment Adviser Representative	Approved	03/04/2013
IA	Idaho	Investment Adviser Representative	Approved	03/30/2018
B	Illinois	Agent	Approved	09/16/2025
IA	Kentucky	Investment Adviser Representative	Approved	01/04/2012



Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	02/12/2025
IA	Michigan	Investment Adviser Representative	Approved	02/25/2025
IA	Nebraska	Investment Adviser Representative	Approved	01/05/2024
IA	Nevada	Investment Adviser Representative	Approved	01/17/2012
IA	North Carolina	Investment Adviser Representative	Approved	03/24/2014
B	North Carolina	Agent	Approved	03/31/2022
IA	Ohio	Investment Adviser Representative	Approved	08/21/2019
B	Rhode Island	Agent	Approved	01/21/2026
IA	South Carolina	Investment Adviser Representative	Approved	01/04/2024
IA	South Dakota	Investment Adviser Representative	Approved	03/05/2021
B	Tennessee	Agent	Approved	06/09/2021
B	Texas	Agent	Approved	08/19/2008
IA	Texas	Investment Adviser Representative	Restricted Approval	01/11/2011
B	Utah	Agent	Approved	01/20/2009
IA	Utah	Investment Adviser Representative	Approved	01/04/2011
B	Wisconsin	Agent	Approved	07/26/2022

Branch Office Locations

CENTAURUS FINANCIAL, INC.
9335 COMMERCE CENTER STREET
UNIT #B5
HIGHLANDS RANCH, CO 80129



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

Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	12/16/2009

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/23/2002

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/21/2005
 Uniform Investment Adviser Law Examination (S65)	Series 65	07/22/2003

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	04/24/2008 - 04/28/2008	CENTAURUS FINANCIAL, INC.	CRD# 30833	ANAHEIM, CA
B	06/26/2007 - 04/25/2008	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	GREENWOOD VILLAGE
IA	06/26/2007 - 04/25/2008	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	GREENWOOD VILLAGE
IA	07/24/2003 - 06/27/2007	LEGACY ADVISORY SERVICES, INC.	CRD# 111027	GREENWOOD VILLAGE
B	09/26/2002 - 06/27/2007	LEGACY FINANCIAL SERVICES, INC.	CRD# 38697	GREENWOOD VILLAGE

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
04/2008 - Present	CENTAURUS FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	ORANGE, CA, United States
10/2004 - Present	CHARTER FINANCIAL RESOURCES	CEO	Y	GREENWOOD VILLAGE, CO, United States
09/1999 - Present	LEGACY MARKETING GROUP	INSURANCE SALE	N	PETALUNA, CA, United States
09/1999 - Present	MARTIN FINANCIAL PLANNING	INSURANCE AGENT	N	LARKSPUR, CO, 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. MEMORY LANE, NON-INVESTMENT RELATED, 9335 COMMERCE CENTER ST., B4, HIGHLANDS RANCH, CO 80129, I RENT OUT MY 1950'S EVENT CENTER TO INDIVIDUALS AND COMPANIES FOR THE PURPOSE OF HOLDING MEETINGS, PARTIES OR CELEBRATIONS, OWNER, SINCE 1/1/2016, DEVOTED TIME IS 5 HRS A MONTH, I WRITE UP A CONTRACT FOR RENTAL PURPOSES.

2. DARREN MARTIN BUSINESS CONSULTING, SOLE PROPRIETOR, TRAINER, SINCE 10/1/2009, 9335 COMMERCE CENTER ST., UNIT B5, HIGHLANDS RANCH, CO 80129, I ASSIST INDIVIDUALS IN BECOMING INDEPENDENT



Registration & Employment History



OTHER BUSINESS ACTIVITIES

REPRESENTATIVE/SOLICITORS FOR CAPSTONE INVESTMENT FINANCIAL GROUP,LLC, I HELP THEM OBTAIN POTENTIAL CLIENTS THROUGH MARKETING CAPSTONE SERVICES, I MEET WITH ALL POTENTIAL CLIENTS OBTAINED FROM THE MARKETING EFFORTS, QUALIFY THEIR NEEDS AND SUITABILITY, INTRODUCE THE SERVICES OF, AND IF SUITABLE, SIGN THE CLIENT UP FOR THE MANAGEMENT SERVICES OF CAPSTONE, TIME DEVOTED IS 6 HRS A MONTH, INVESTMENT RELATED.

3. CHARTER FINANCIAL RESOURCES LLC, SOLE PROPRIETOR, SALESMAN, SINCE 10/21/2004, 9335 COMMERCE CENTER ST., UNIT B5, HIGHLANDS RANCH, CO 80129, I SELL FIXED ANNUITIES, LONG TERM CARE INSURANCE, AND FIXED LIFE INSURANCE, DEVOTED TIME IS 1 HR A MONTH, NON-INVESTMENT RELATED.

4. DARREN MARTIN CONSULTING, SOLE PROPRIETOR, I TRAINER, SINCE 8/1/2004, 9335 COMMERCE CENTER ST., UNIT B5, HIGHLANDS RANCH, CO 80129, I PROVIDE SALES AND MARKETING SUPPORT TO AGENTS WHO WORK OUT OF MY OFFICE, I TRAIN THEM ON HOW TO PROVIDE FINANCIAL SERVICES TO OTHERS, I ALSO PROVIDE SUPPORT STAFF, TECHNOLOGY, AND OFFICE SPACE, I ALSO PROVIDE SALES AND MARKETING SUPPORT TO CAPSTONE INVESTMENT FINANCIAL GROUP, LLC, DEVOTED TIME IS 5 HRS A MONTH, NON-INVESTMENT RELATED.

5. CHARTER FINANCIAL RESOURCES, LLC

POSITION: President NATURE: DBA INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2019

ADDRESS: 9335 Commerce Center St. Unit b5, Highlands Ranch CO 80129, United States

DESCRIPTION: on a panel of professionals that will provide education to senior centers.



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	1

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:	Regulator
Employing firm when activities occurred which led to the complaint:	LEGACY FINANCIAL SERVICES, INC.
Allegations:	UNSUITABILITY; BREACH OF CONTRACT; BREACH OF FIDUCIARY DUTIES
Product Type:	Other
Other Product Type(s):	LIFE INSURANCE ANNUITIES
Alleged Damages:	\$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #06-04150](#)

Date Notice/Process Served: 09/12/2006

Arbitration Pending? No

Disposition: Award

Disposition Date: 09/13/2007

Disposition Detail: RESPONDENT IS LIABLE TO AND SHALL PAY CLAIMANT \$10,000, PLUS INTEREST, IN COMPENSATORY DAMAGES.

Reporting Source: Firm



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

Allegations: CLAIMANT ALLEGES UNSUITABILITY, BREACH OF CONTRACT AND BREACH OF FIDUCIARY DUTIES REGARDING HER INVESTMENTS IN A SECURITY BENEFIT VARIABLE ANNUITY FROM 11/02 TO 9/03.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 09/22/2006

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/13/2007

Settlement Amount: \$36,272.57

Individual Contribution Amount: \$10,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD ARBITRATION 06-04150](#)

Date Notice/Process Served: 09/22/2006

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/13/2007

Monetary Compensation Amount: \$36,272.57

Individual Contribution Amount: \$10,000.00

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES UNSUITABILITY, BREACH OF FIDUCIARY DUTY, AND BREACH OF CONTRACT.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 09/22/2006

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/26/2006



Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** [NASD ARBITRATION #06-04150](#)

Date Notice/Process Served: 09/22/2006

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/13/2007

**Monetary Compensation
Amount:** \$36,272.57

**Individual Contribution
Amount:** \$10,000.00



End of Report

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