IAPD Report

MICHAEL DAVID ROBERTS

CRD# 4700058

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

MICHAEL DAVID ROBERTS (CRD# 4700058)

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 **06/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THE STRATEGIC FINANCIAL ALLIANCE	CRD# 126514	04/04/2023
B	THE STRATEGIC FINANCIAL ALLIANCE, INC.	CRD# 126514	04/04/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	TRIAD ADVISORS LLC	25803	Gilbert, AZ	07/17/2017 - 04/06/2023
IA	TRIAD ADVISORS, LLC	25803	Gilbert, AZ	07/17/2017 - 04/06/2023
IA	COASTAL INVESTMENT ADVISORS	134952	EUGENE, OR	04/22/2015 - 07/18/2017

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

Employment 1 of 1

Firm Name: **THE STRATEGIC FINANCIAL ALLIANCE**

Main Address: 2200 CENTURY PARKWAY
SUITE 500
ATLANTA, GA 30345

Firm ID#: 126514

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/04/2023
B	Alabama	Agent	Approved	01/03/2025
B	Arizona	Agent	Approved	04/04/2023
IA	Arizona	Investment Adviser Representative	Approved	04/04/2023
B	California	Agent	Approved	04/04/2023
B	Colorado	Agent	Approved	06/24/2026
B	Idaho	Agent	Approved	04/04/2023
B	Illinois	Agent	Approved	09/15/2025
B	Minnesota	Agent	Approved	04/10/2023
B	Nevada	Agent	Approved	04/04/2023
B	Oregon	Agent	Approved	04/12/2023
IA	Oregon	Investment Adviser Representative	Approved	01/02/2024
B	Texas	Agent	Approved	04/04/2023

Qualifications

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	04/04/2023
B	Utah	Agent	Approved	04/04/2023
B	Washington	Agent	Approved	04/04/2023
B	Wisconsin	Agent	Approved	04/04/2023

Branch Office Locations

THE STRATEGIC FINANCIAL ALLIANCE
Gilbert, AZ

THE STRATEGIC FINANCIAL ALLIANCE
678 Country Club Rd, Suite 100
Eugene, OR 97401

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, 2 general industry/product exams, and 1 state securities law exam.

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	09/29/2003

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/21/2003

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
B	07/17/2017 - 04/06/2023	TRIAD ADVISORS LLC	CRD# 25803	Gilbert, AZ
IA	07/17/2017 - 04/06/2023	TRIAD ADVISORS, LLC	CRD# 25803	Gilbert, AZ
IA	04/22/2015 - 07/18/2017	COASTAL INVESTMENT ADVISORS	CRD# 134952	EUGENE, OR
B	04/01/2015 - 07/18/2017	COASTAL EQUITIES, INC.	CRD# 23769	EUGENE, OR
B	07/17/2012 - 03/27/2015	CENTAURUS FINANCIAL, INC.	CRD# 30833	CHANDLER, AZ
IA	07/16/2012 - 03/27/2015	CENTAURUS FINANCIAL, INC.	CRD# 30833	CHANDLER, AZ
IA	03/20/2009 - 07/19/2012	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	CRD# 124446	CHANDLER, AZ
B	06/28/2007 - 07/19/2012	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	CHANDLER, AZ
B	01/25/2007 - 06/28/2007	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	EUGENE, OR
B	10/01/2003 - 01/23/2007	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	EUGENE, OR
IA	09/08/2006 - 01/19/2007	CARTER AND CARTER FINANCIAL	CRD# 141218	EUGENE, OR

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
04/2023 - Present	The Strategic Financial Alliance, Inc.	Registered Representative/Investment Advisor Representative	Y	Atlanta, GA, United States
07/2017 - 04/2023	Triad Advisors, Inc.	Registered Representative/Investment Advisor Representative	Y	Norcross, GA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
		Representative		
03/2015 - 07/2017	COASTAL EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, United States
03/2015 - 07/2017	COASTAL INVESTMENT ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	WILMINGTON, DE, 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.)Oak Wealth Management
Investment related
2356 East Willis Road, Gilbert, AZ 85297
DBA for financial services
Owner
Start Date: 9/2003
16 hrs/month;120 hrs during trading
Recommend investments of all nature to clients and sell those investments

2.) Appointment with multiple carriers
Not investment related
2356 East Willis Road, Gilbert, AZ 85297
Life insurance and annuity sales agent
Start Date: 2003
10 hrs/month;0 hrs during trading hours
Market and sell life insurance and annuity products

3.)Mike Roberts
Not investment related
2356 E Willis Rd, Gilbert, AZ 85297
Position: Consultant-motion picture & tv industry
Start Date: 12/2003
6 hrs/month; 0 hrs during trading
Consult with production company regarding budget, film locations, tax incentives and tax credits

4.)Mesa LLC
Investment related
1930 Mesquite Ave, Ste 11,Lake Havasu City, AZ 86403
Position: Family LLC; member
Start Date: 1/2002
1 hr/month;0 hrs during trading
Help with management of family LLC

5.) Knoll Miller & Arenofsky LLP
Non-Investment related

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Trust Administrator
Start Date: 6/15/2018
3 hrs/month;0 hrs during trading
Gather information on behalf of the estate planning law group, input date in front of client then send to attorney

6.) Champion Health
Non Investment Related
Start Date: 1/02/2025
Position: Independent Contractor
4 hours per month
0 hours during securities trading hours
Help clients join health benefit and receives a commission.

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:	Firm
Employing firm when activities occurred which led to the complaint:	JP Turner & Company and Centaurus Financial, Inc.
Allegations:	Claimants allege lack of due diligence on recommended products and unsuitable recommendations.
Product Type:	Investment Contract Real Estate Security
Alleged Damages:	$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimants allege to have lost approximately between $100,000 and $500,000. No damages claimed have been attributed specifically to Centaurus Financial, Inc. is undisclosed.
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 #:	17-00088
Filing date of arbitration/CFTC reparation or civil litigation:	10/04/2017

Customer Complaint Information

Date Complaint Received:	12/06/2017
Complaint Pending?	No
Status:	Settled
Status Date:	06/08/2018
Settlement Amount:	$7,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	JP Turner & Company and Centaurus Financial, Inc.
Allegations:	Claimants allege lack of due diligence on recommended products and unsuitable recommendations.
Product Type:	Investment Contract Real Estate Security
Alleged Damages:	$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimants allege to have lost approximately between $100,000 and $500,000. No damages claimed have been attributed specifically to Centaurus Financial, Inc. is undisclosed.
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 #:	17-00088
Filing date of arbitration/CFTC reparation or civil litigation:	10/04/2017

Customer Complaint Information

Date Complaint Received:	01/05/2018
Complaint Pending?	No
Status:	Settled
Status Date:	06/08/2018
Settlement Amount:	$7,500.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	CLIENT ALLEGES MISREPRESENTATION
Product Type:	Annuity-Variable
Alleged Damages:	$79,000.00
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:	10/19/2010
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	11/05/2010
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	State Court
Name of Court:	CIRCUIT COURT OF THE STATE OF OREGON
Location of Court:	LANE COUNTY OREGON
Docket/Case #:	CASE #16-10-24223
Date Notice/Process Served:	11/05/2010
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	07/12/2011
Monetary Compensation Amount:	$85,625.32
Individual Contribution Amount:	$85,625.32
Broker Statement	07/12/2011 - SETTLEMENT WAS MADE FOR $6000 IN LEGAL FEES AND $79625.32 PAYABLE TO AN ESCROW ACCOUNT WHICH MAY OR MAY NOT BE RETURNED TO ME. EXPOSURE OF DAMAGE TO BE DETERMINED BY THE VALUE OF THE ACCOUNT UPON THE DEATH OF THE CLIENT PER THE RELEASE AGREEMENT. THE ALLEGED MISREPRESENTATION WAS FROM AN INSURANCE COMPANY, NOT ME. I GAVE THE CLIENT THE INFORMATION THAT I RECEIVED FROM THE INSURANCE COMPANY DIRECTLY.

End of Report

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