

## BrokerCheck Report

**MARTIN J VANAMEN**

CRD# 1704657

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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.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**MARTIN J. VANAMEN**

CRD# 1704657

**Currently employed by and registered with the following Firm(s):**

**IA CENTAURUS FINANCIAL, INC.**  
 136 W. 12300 S  
 SUITE #201  
 DRAPER, UT 84020  
 CRD# 30833  
 Registered with this firm since: 12/20/2018

**B CENTAURUS FINANCIAL, INC.**  
 136 W. 12300 S  
 SUITE #201  
 DRAPER, UT 84020  
 CRD# 30833  
 Registered with this firm since: 01/04/2019

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is registered with:**

- 1 Self-Regulatory Organization
- 13 U.S. states and territories

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

**Registration History****This broker was previously registered with the following securities firm(s):**

- IA AMERIPRISE FINANCIAL SERVICES, INC.**  
 CRD# 6363  
 MINNEAPOLIS, MN  
 09/2018 - 12/2018
- B AMERIPRISE FINANCIAL SERVICES, INC.**  
 CRD# 6363  
 Draper, UT  
 03/2018 - 12/2018
- B CENTAURUS FINANCIAL, INC.**  
 CRD# 30833  
 DRAPER, UT  
 04/2012 - 04/2018

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	1
Customer Dispute	1



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 13 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **CENTAURUS FINANCIAL, INC.**

Main Office Address: **2300 E. KATELLA AVENUE  
SUITE #200  
ANAHEIM, CA 92806**

Firm CRD#: **30833**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/04/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	01/04/2019

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/10/2019
IA	Arizona	Investment Adviser Representative	Approved	01/10/2019
B	California	Agent	Approved	01/11/2019
IA	California	Investment Adviser Representative	Approved	01/14/2019
B	Colorado	Agent	Approved	01/10/2019
IA	Colorado	Investment Adviser Representative	Approved	01/11/2019
B	Idaho	Agent	Approved	01/15/2019
IA	Idaho	Investment Adviser Representative	Approved	01/15/2019
IA	Minnesota	Investment Adviser Representative	Approved	07/15/2021
B	Minnesota	Agent	Approved	07/16/2021
B	Nevada	Agent	Approved	01/22/2019



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Nevada	Investment Adviser Representative	Approved	01/22/2019
B	North Dakota	Agent	Approved	07/19/2021
IA	North Dakota	Investment Adviser Representative	Approved	07/19/2021
B	Oregon	Agent	Approved	01/25/2021
IA	Oregon	Investment Adviser Representative	Approved	01/25/2021
B	South Dakota	Agent	Approved	01/27/2021
IA	South Dakota	Investment Adviser Representative	Approved	01/27/2021
B	Texas	Agent	Approved	01/11/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	01/11/2019
IA	Utah	Investment Adviser Representative	Approved	12/20/2018
B	Utah	Agent	Approved	01/08/2019
B	Washington	Agent	Approved	09/09/2025
IA	Washington	Investment Adviser Representative	Approved	09/09/2025
B	Wyoming	Agent	Approved	01/10/2019
IA	Wyoming	Investment Adviser Representative	Approved	01/15/2019

### Branch Office Locations

**CENTAURUS FINANCIAL, INC.**  
 136 W. 12300 S  
 SUITE #201  
 DRAPER, UT 84020



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	07/15/1989
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	11/30/1987

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	09/21/2018
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	11/15/1999

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

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

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>IA</b> 09/2018 - 12/2018	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Draper, UT
<b>B</b> 03/2018 - 12/2018	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Draper, UT
<b>B</b> 04/2012 - 04/2018	CENTAURUS FINANCIAL, INC.	30833	DRAPER, UT
<b>B</b> 11/2007 - 04/2012	PAULSON INVESTMENT COMPANY, INC.	5670	DRAPER, UT
<b>B</b> 11/2002 - 11/2007	INVESTMENT MANAGEMENT CORPORATION	37196	DRAPER, UT
<b>IA</b> 12/2001 - 11/2002	WACHOVIA SECURITIES, INC.	19616	SALT LAKE CITY, UT
<b>B</b> 11/2001 - 11/2002	WACHOVIA SECURITIES, INC.	19616	ST. LOUIS, MO
<b>B</b> 04/1998 - 11/2001	U.S. BANCORP PIPER JAFFRAY INC.	665	MINNEAPOLIS, MN
<b>B</b> 03/1998 - 04/1998	DAIN RAUSCHER INCORPORATED	31194	NEW YORK, NY
<b>B</b> 10/1994 - 03/1998	DAIN RAUSCHER INCORPORATED	7600	
<b>B</b> 11/1989 - 10/1994	PAINEWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
<b>B</b> 12/1987 - 11/1989	FIDELITY BROKERAGE SERVICES, INC.	7784	SMITHFIELD, RI

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
12/2018 - Present	CENTAURUS FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	ANAHEIM, CA, United States
03/2018 - 12/2018	Ameriprise Financial Services Inc	Registered Representative	Y	Draper, UT, United States





## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
03/2012 - 03/2018	CENTAURUS FINANCIAL INC.	REGISTERED REP	Y	ANAHEIM, CA, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. CONTRACTOR, INTEREST INSURANCE, 12339 S. 800 EAST STREET, #101A, DRAPER, UT 84020. SALES OF HEALTH INSURANCE, NON INVESTMENT RELATED SINCE 04/2018 AND I SPEND APPROX. 3 HOURS PER MONTH ON THIS ACTIVITY.

2. CORNER CANYON FINANCIAL SERVICES

POSITION: Manager NATURE: DBA for branding and marketing purposes. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES

TRADING HOURS: 0 START DATE: 10/01/2024

ADDRESS: 136 W. 12300 S., Suite #201, Draper UT 84020, United States

DESCRIPTION: DBA for branding and marketing purposes

3. BUSINESS CONSULTING

POSITION: self NATURE: When clients are selling a business, I connect them with a business broker and receive a finder's fee INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2025

ADDRESS: 136 w 12300 s, draper UT 84020, United States

DESCRIPTION: When clients are selling a business, I connect them with a business broker and receive a finder's fee

## Disclosure Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Customer Dispute	0	1	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	STATE OF UTAH DIVISION OF SECURITIES
<b>Sanction(s) Sought:</b>	Suspension Other: FINED RETAKE AND PASS SECURITIES LICENSES
<b>Date Initiated:</b>	04/12/1999
<b>Docket/Case Number:</b>	N/A
<b>Employing firm when activity occurred which led to the regulatory action:</b>	DAIN RAUSCHER INC.
<b>Product Type:</b>	Mutual Fund
<b>Allegations:</b>	ALLEGED VIOLATIONS OF UTAH CODE ANN. 61-1-1(2) - FALSE STATEMENTS; UTAH CODE ANN. 61-1-1(3) - FRAUDULENT PRACTICES; UTAH ADMIN. RULE B164-1-3(C)(1)(B) - EXCESSIVE COMPENSATION; UTAH ADMIN. RULE B164-6-1G(D)(7)(1) - SUITABILITY; UTAH ADMIN. RULE 164-6-1G(D)(7)(3) - EXCESSIVE TRADING.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	04/12/1999
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	2 Weeks
Start Date:	
End Date:	
Broker Statement	THIS IS RELATING TO THE UTAH PARKS COUNSEL COMPLAINT THAT WAS INITIATED BY THE STATE.



## Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 1

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** DAN RAUSCHER INC.

**Allegations:** CLIENTS ALLEGE MISMANAGEMENT AND EXCESSIVE FEES RESULTING IN LOST PROFITS OF \$224,537.00. CLIENTS ALSO DEMAND PUNITIVE DAMAGES AND EXPENSES TOTALLING \$104,991.00.

**Product Type:**

**Alleged Damages:** \$224,537.00

### Customer Complaint Information

**Date Complaint Received:** 11/25/1998

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/19/1999

**Settlement Amount:** \$240,000.00

**Individual Contribution Amount:**

**Firm Statement** COMPLAINT WAS SETTLED IN THE AMOUNT OF \$240,000.00  
NOT PROVIDED

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** DAIN RAUSCHER INC.

**Allegations:** THIS WAS NOT A CUSTOMER COMPLAINT. THIS WAS A COMPLAINT INITIATED BY THE STATE OF UTAH FOLLOWING AN AUDIT. THE AUDITOR FOUND AN ACCOUNT THAT WAS OPENED WITH \$100,000 IN B SHARES. ORIGINALLY, NO ADDITIONAL MONEY WAS INTENDED TO BE ADDED TO THE ACCOUNT. LATER, NEW REVENUE ALLOWED THE BSA TO ADD TO THE



FUND AND OVER THE NEXT COUPLE OF YEARS...ALL TO B SHARE ACCOUNTS. THE CLIENTS CHOSE B SHARES BECAUSE THEY DID NOT WANT TO EXPLAIN THE SALES CHARGES TO THE BOARD. UTAH SECURITIES DEPT ALLEGED THAT FEES RESULTING IN LOST PROFITS OF \$224,537.00 SHOULD BE RETURNED TO THE CLIENTS AS THEY COULD HAVE PURCHASED A SHARES. IN ADDITION, PUNITIVE DAMAGES AND EXPENSES TOTALLING \$104,991.00 AT MR. VANAMEN'S PREVIOUS FIRM, DAIN RAUSCHER INC. ARE BEING ASKED FOR.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$224,537.00

### **Customer Complaint Information**

**Date Complaint Received:** 11/25/1998

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/19/1999

**Settlement Amount:** \$240,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** COMPLAINT WAS SETTLED IN THE AMOUNT OF \$240,000.00. IT IS MY UNDERSTANDING THAT ONLY ONE CLIENT WAS INVOLVED. THE CLIENT DID NOT WANT THE MONEY BACK AS THEY SAID THEY HAD CHOSEN B SHARES BUT WERE FORCED TO ACCEPT THE SETTLEMENT AS THE STATE PRESSED THE ISSUE. THE STATE IMPOSED THE REGULATORY ACTIONS AGAINST VANAMEN AS A RESULT OF THIS ISSUE.

## End of Report



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