

BrokerCheck Report

MARCO BARTOLO AZIZI

CRD# 2154719

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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:

- o 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
- o 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.



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



For additional information about the contents of this report, please refer to the User Guidance or 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)

Thank you for using FINRA BrokerCheck.

**MARCO B. AZIZI**

CRD# 2154719

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

IA CENTAURUS FINANCIAL, INC.
 1048 LINCOLN AVENUE
 SAN JOSE, CA 95125
 CRD# 30833
 Registered with this firm since: 07/20/2016

B CENTAURUS FINANCIAL, INC.
 1048 LINCOLN AVENUE
 SAN JOSE, CA 95125
 CRD# 30833
 Registered with this firm since: 07/20/2016

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
- 10 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

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

- IA CETERA INVESTMENT ADVISERS LLC**
 CRD# 105644
 SCHAUMBURG, IL
 10/2015 - 07/2016
- B SUMMIT BROKERAGE SERVICES, INC.**
 CRD# 34643
 SAN JOSE, CA
 09/2015 - 07/2016
- B J.P. TURNER & COMPANY, L.L.C.**
 CRD# 43177
 SAN JOSE, CA
 03/2002 - 12/2015

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
Customer Dispute	4



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 10 U.S. states and territories through his or her employer.

Employment 1 of 1

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

Main Office Address: **2300 EAST KATELLA AVE
SUITE 200
ANAHEIM, CA 92806**

Firm CRD#: **30833**

SRO	Category	Status	Date
B FINRA	General Securities Principal	APPROVED	07/20/2016
B FINRA	General Securities Representative	APPROVED	07/20/2016

U.S. State/ Territory	Category	Status	Date
B California	Agent	APPROVED	07/20/2016
IA California	Investment Adviser Representative	APPROVED	07/21/2016
B Delaware	Agent	APPROVED	07/20/2016
B District of Columbia	Agent	APPROVED	07/20/2016
B Georgia	Agent	APPROVED	09/12/2019
B Illinois	Agent	APPROVED	06/13/2019
B Maryland	Agent	APPROVED	07/20/2016
B Pennsylvania	Agent	APPROVED	07/20/2016
B South Carolina	Agent	APPROVED	01/28/2020
B Texas	Agent	APPROVED	12/14/2018
B Virginia	Agent	APPROVED	07/20/2016

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

CENTAURUS FINANCIAL, INC.
1048 LINCOLN AVENUE
SAN JOSE, CA 95125



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.

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
B General Securities Principal Examination	Series 24	01/22/1999

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/26/1991

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	09/27/2007
B Uniform Securities Agent State Law Examination	Series 63	08/08/1991

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/.



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
IA 10/2015 - 07/2016	CETERA INVESTMENT ADVISERS LLC	105644	San Jose, CA
B 09/2015 - 07/2016	SUMMIT BROKERAGE SERVICES, INC.	34643	SAN JOSE, CA
B 03/2002 - 12/2015	J.P. TURNER & COMPANY, L.L.C.	43177	SAN JOSE, CA
IA 10/2007 - 11/2015	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	124446	SAN JOSE, CA
B 01/1993 - 03/2002	GLOBAL CAPITAL SECURITIES CORPORATION	16184	ENGLEWOOD, CO
B 07/1992 - 01/1993	KOBER FINANCIAL CORP.	17551	ENGLEWOOD, CO
B 07/1991 - 07/1992	J. W. GANT & ASSOCIATES, INC.	7963	

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
07/2016 - Present	CENTAURUS FINAICAL, INC	REGISTERED REPRESENTATIVE	Y	ANAHEIM, CA, United States
09/2015 - Present	SUMMIT BROKERAGE SERVICES INC	REG REP	Y	SAN JOSE, CA, United States
10/2007 - Present	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	IA	Y	SAN JOSE, CA, United States
03/2002 - Present	JP TURNER AND CO.	BROKER	Y	SAN JOSE, CA, United States
10/2015 - 07/2016	Cetera Investment Advisors	IA rep	Y	San Jose, CA, United States

Registration and Employment History



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.

MASSMUTUAL PACIFIC, NON-INVESTMENT RELATED, 1255 TREAT BLVD., SUITE #400, WALNUT CREEK, CA 94597, SELLING WHOLE LIFE INSURANCE, BROKER, SINCE 12/1/2017, DEVOTED TIME IS 5 HOURS A MONTH, EVALUATE CLIENTS NEEDS FOR LIFE INSURANCE. ESTATE PLANNING TEAM, NON-INVESTMENT RELATED, 45110 CLUB DRIVE, INDIAN WELLS, CA 92210, DEFERRED SALES TRUST, MEMBER, SINCE 8/9/2016, DEVOTED TIME IS 10 HRS A MONTH, EXPLAINING DEFERRED SALES TRUST. BRANCH MANAGER, GLOBAL CAPITAL WEALTH MANAGEMENT; 1048 LINCOLN AVENUE, SAN JOSE, CA 95125. NON INVESTMENT RELATED SINCE 07/01/2016. DBA FOR BRANDING PURPOSES ONLY.



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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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
Customer Dispute	2	2	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.

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY L.L.C.
Allegations:	CLIENT ALLEGES UNSUITABILITY
Product Type:	Debt - Corporate
Other Product Type(s):	CALPINE BOND
Alleged Damages:	\$33,199.54

Customer Complaint Information

Date Complaint Received:	03/07/2006
Complaint Pending?	No
Status:	Denied
Status Date:	04/24/2006
Settlement Amount:	

Individual Contribution Amount:

Disclosure 2 of 2



Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY
Allegations: CLIENT ALLEGES BROKER MISREPRESENTED BOND AND WAS UNSUITABLE FOR INVESTMENT
Product Type: Debt - Corporate
Other Product Type(s): CALPINE BOND
Alleged Damages: \$64,005.00

Customer Complaint Information

Date Complaint Received: 01/05/2006
Complaint Pending? No
Status: Denied
Status Date: 04/24/2006
Settlement Amount:
Individual Contribution Amount:



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.P. Turner and Company aka Cetera Financial Group
Allegations:	During the period 2012 through 2014, the customers allege that the Registered Representative facilitated unsuitable, high-risk and illiquid investments.
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimants are requesting unspecified compensatory damages that will potentially exceed \$5,000.
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 #:	19-01990
Filing date of arbitration/CFTC reparation or civil litigation:	07/17/2019

Customer Complaint Information

Date Complaint Received:	09/20/2019
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	



Broker Statement

I vehemently deny any wrongdoing and assert that the allegations are completely without merit. The investments about which the customers complained were suitable and were recommended based on the customer's objectives, goals and financial circumstances and were offered only after their review of all material documentation related to the investment. The customers confirmed in writing that they not only received the requisite investment documentation/disclosures, but that they 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.

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Summit Brokerage Services
Allegations:	Customer primarily alleges that the financial advisor recommended unsuitable investments and several other allegations associated therewith.
Product Type:	Real Estate Security
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	The firm's good faith determination is that the damages from the alleged conduct would be more than \$5,000.
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 #:	18-03549
Filing date of arbitration/CFTC reparation or civil litigation:	10/12/2018

Customer Complaint Information

Date Complaint Received:	10/15/2018
Complaint Pending?	Yes



Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

I vehemently deny any wrongdoing and assert that the allegations are completely without merit. The customer confirmed in writing that he not only received the requisite investment documentation/disclosures, but that he fully understood the characteristics and risks of the investments. The investments about which he complained were suitable and were recommended based on the customer's objectives, goals and financial circumstances and were offered only after the customer's review of all material documentation related to the investments. At all times, I put the customer's interests first and I will vigorously defend this matter to the fullest extent of the law.

End of Report



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