1 Manage Individuals

Please click "Continue" to navigate through the Manage Individuals section.

1.1 Personal Information

1.1.1 Name *Royce Running*

1.1.2 Suffix:**not answered**

1.1.3 FINRA CRD #: *5202198*

1.1.4 Year of Birth: *1983*

1.2 Registered Branch Office Information

1.2.1 Street:
18012 Cowan, Suite 200

1.2.2 City: *Irvine*

1.2.3 State:
CA

1.2.4 Zip: *92614*

1.2.5 Phone Number: *(949) 484-4684*

1.2.6 Fax Number *(949) 424-8274*

1.2.7 Do you have another approved registered branch office?
☐ Yes ☑ No

1.3 Mobile Phone Number and Email and Website

1.3.1 Mobile phone number: *(949) 698-3640*

1.3.2 Email Address for Investment-related Correspondence:
rrunning@cfiemail.com

2 Educational Background and Business Experience

Please click "Continue" to navigate through the Education/Business section.

2.1 Active Securities and Insurance Licenses

2.1.1 Do you currently hold any securities licenses?
☑ Yes ☐ No

2.1.2 Check which securities licenses(s) you hold permitting you to conduct advisory services or whether you rely on an exam waiver or exemption as a result of a professional designation or industry tenure.

☑ 7

☑ 24

☐ 65

☑ 66

☐ I rely on an exam waiver based on industry experience or professional designation.

2.1.3 I am currently registered as an Investment Advisory Representative in the following states:
California
Idaho
Indiana
Tennessee
Texas
Washington

2.1.4 Do you currently hold insurance licenses?
☑ Yes ☐ No

2.1.5 Current active insurance licenses:

☑ Life

☑ Variable Annuity

☑ Health

2.1.6 State(s) where insurance licenese(s) are held:
California

2.1.7 Have you been approved by Centaurus to offer financial planning?
☑ Yes ☐ No

2.2 Active Professional Designations

2.2.1 Do you hold any professional designations that you use in your investment-related marketing which includes letterhead, business cards, websites etc.?
☐ Yes ☑ No

Policy
You must list in the ADV 2B any designations you hold and use in your investment-related marketing. The ADV 2B must list the minimum qualifications required for each designation to allow *clients* to understand the value of the designation.

2.2.2 Which designations do you currently hold?

☐ AAMS - Accredited Asset Management Specialist
☐ AEP - Accredited Estate Planner
☐ AIF - Accredited Investment Fiduciary
☐ AIFA - Accredited Investment Fiduciary Analyst
☐ CASL - Chartered Advisor for Senior Living
☐ CDFA - Certified Divorce Financial Analyst
☐ CEBS - Certified Employee Benefit Specialist
☐ CFA - Chartered Financial Analyst
☐ CFP - Certified Financial Planner
☐ CFS - Certified Fund Specialist
☐ CRFA - Certified Retirement Financial Advisor
☐ ChFC - Chartered Financial Consultant
☐ CIC - Certified Insurance Counselor
☐ ChFEBC - Chartered Federal Employee Benefits Consultant
☐ CLU - Chartered Life Underwriter
☐ CMFC - Chartered Mutual Fund Counselor
☐ CPA - Certified Public Accountant
☐ CPC - Certified Pension Consultant
☐ CRPC - Chartered Retirement Planning Counselor
☐ CRPS - Chartered Retirement Plan Specialist
☐ EA - Enrolled Agent
☐ FSS - Financial Services Specialist
☐ JD - Juris Doctor
☐ LLM - Master of Law
☐ LUTCF - Life Underwriter Training Council Fellow
☐ MBA - Master of Business Administration
☐ MRFC - Master Registered Financial Consultant
☐ MSA - Master of Science in Accounting
☐ MSFS - Master of Science in Financial Services
☐ MST - Master of Science in Taxation
☐ PFS - Personal Financial Specialist
☐ Ph.D. - Doctorate degree
☐ REBC - Registered Employee Benefits Consultant
☐ RFC - Regsietered Financial Consultant
☐ RHU - Registered Health Underwriter
☐ RICP - Retirement Income Certified Professional

2.3 Formal Education

Policy
The ADV 2B requires you to disclose your formal education after high school, and to disclose if you had no high school education or no formal education after high school.

2.3.1 Did you graduate from high school?
☑ Yes ☐ No

2.3.2 Year Graduated from High School: *2001*

> **Policy**
> The following information will automatically be populated into the final version of your ADV 2B:
>
> " I did not graduate from highschool."

2.3.3 Did you complete any formal education after high school?
☑ Yes ☐ No

> **Policy**
> The following information will automatically be populated into the final version of your ADV 2B:
>
> "I have no formal educational background."

Below is a table available for you to list as many records as necessary. Click "New Record" to open the table and begin entering the field(s). If you have multiple entries, click "Save and New" to enter a new record. If you only have one entry (or after your last entry), click "Save and Close." At any time, you can click "Back to List" to see what entries you have entered. If you click "Back to List" before saving your entry, the information will not be saved. You can SELECT an entry to "Edit" it, or simply "Delete" any unnecessary entries.

2.3.4 Institution Name:

Institution Name	Year Graduated	Degree Obtained	Major	Details
University of California, Riverside	*2006*	Bachelor of Science	*Business Administration*	**2.3.4.5** Please provide details that will be included in your ADV 2B:**not answered**

2.4 Business Background

2.4.1 Do you have any employment history?
☑ Yes ☐ No

> **Policy**
> The ADV 2B requires you to disclose your business background (including an identification of the specific positions held) for at least the preceding five years. If any information is different from what is on your Form U4, please update the Form U4.

2.4.2 How many years have you been working in the financial services industry?
15

Policy **You must include business background information for the preceding five (5) years.**

Below is a table available for you to list as many records as necessary. Click "New Record" to open the table and begin entering the field(s). If you have multiple entries, click "Save and New" to enter a new record. If you only have one entry (or after your last entry), click "Save and Close." At any time, you can click "Back to List" to see what entries you have entered. If you click "Back to List" before saving your entry, the information will not be saved. You can SELECT an entry to "Edit" it, or simply "Delete" any unnecessary entries.

2.4.3 Employment:

Dates:	*05/2013 to Present*
Business Name:	*Centaurus Financial*
Investment-Related:	Y
City:	*Fullerton*
State:	CA
Position Held:	*Financial Advisor*
Details:	**2.4.3.6** Please provide any details that will be included in your ADV 2B referring to a brief description of your job function, duties, key accomplishments, or any recognitions you received. *Provided wealth management services*

Dates:	*08/2009 to 05/2013*
Business Name:	*J.P. Turner & Company*
Investment-Related:	Y
City:	*Irvine*
State:	CA
Position Held:	*Financial Advisor*
Details:	**2.4.3.6** Please provide any details that will be included in your ADV 2B referring to a brief description of your job function, duties, key accomplishments, or any recognitions you received. *Provided wealth management services*

Dates:	*02/2009 to 06/2009*
Business Name:	*WFP Securities*
Investment-Related:	Y
City:	*Irvine*
State:	CA
Position Held:	*Financial Planner*
Details:	

2.4.3.6 Please provide any details that will be included in your ADV 2B referring to a brief description of your job function, duties, key accomplishments, or any recognitions you received.
Provided wealth management services

Dates:	*07/2008 to 02/2009*
Business Name:	*WIN-TEAM*
Investment-Related:	Y
City:	*Lake Forest*
State:	CA
Position Held:	*Paraplanner*
Details:	**2.4.3.6** Please provide any details that will be included in your ADV 2B referring to a brief description of your job function, duties, key accomplishments, or any recognitions you received. *Provided wealth management services*

3 Disciplinary Information

Policy
The ADV 2B must disclose any legal or disciplinary events you have ever been involved in and the material facts related to these events. These events must be included unless Compliance and Legal determine the events are immaterial to a client's evaluation of your integrity or your financial advice. The SEC indicated that few events will be considered immaterial, particularly if they occurred in the preceding ten years.

3.1 Have you been involved in any legal or disciplinary proceeding?
☑ Yes ☐ No

Since you have been involved in a legal or disciplinary proceeding, the following questions must be answered. Please read the questions carefully and answer them fully. The details you provide will be included in your ADV 2B and compared to current disclosure on your Form U4 which has similar, but different, disclosures. Clients will be directed to the Form U4 for potential additional disciplinary event disclosures.

3.1 Disciplinary Information Related to Licenses and Designations

3.1.1 Have you ever had a license or professional designation suspended or revoked because of a professional conduct violation?
☐ Yes ☑ No

3.1.3 Have you ever resigned or surrendered any license or professional designation in anticipation of it being suspended/revoked?
☐ Yes ☑ No

3.2 Criminal or Civil Actions

Respond to the questions below about any criminal or civil actions in any domestic, foreign, or military courts in which you have been a defendant.

3.2.1 Have you ever been involved in any criminal action?
☐ Yes ☑ No

3.2.2 Have you ever been convicted of, or pled guilty or no contest to:
☐ any felony
☐ a misdemeanor that involved investments or an investment-related business
☐ a misdemeanor that involved fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion
☐ a conspiracy to commit any of these offenses

3.2.6 Have you ever been involved in an action alleging a violation of an investment-related statute or regulation? (This includes any criminal or civil court actions.)
☐ Yes ☑ No

3.2.8 Have you been the subject of any court order, judgment, or decree limiting you from engaging in any investment-related activity or from violating any investment-related statute, rule, or order?
☐ Yes ☑ No

3.3 Regulatory Actions

Respond to the questions below about any administrative proceeding before a state or federal regulatory agency or foreign financial regulator that you have been involved with. Also, respond describing any self-regulatory organization (SRO) proceeding that you have been involved in. This includes any actions taken by the SEC or FINRA.

3.3.1 Have you caused an investment-related business to lose its authorization to do business?
☐ Yes ☑ No

3.3.3 In an administrative proceeding, have you ever been found to have been violating an investment-related statute or regulation or rule?
☐ Yes ☑ No

3.3.4 The order:
☐ denied, suspended, or revoked my authorization to act in an investment-related business
☐ barred or suspended my association with an investment-related business
☐ barred or suspended me from an SRO's membership or association with other members, or expelled me from membership
☐ otherwise significantly limited my investment-related activities

☐ imposed a civil money penalty or fine of more than $2,500

3.3.6 Has a regulator or SRO found you liable for: a) Fraud, false statement(s), or omissions; b) Theft, embezzlement, or other wrongful taking of property; c) Bribery, forgery, counterfeiting, or extortion; or d) Dishonest, unfair or unethical practices?
☐ Yes ☑ No

3.4 Arbitrations and Bankruptcies

3.4.1 Have you been involved in an arbitration claim?
☑ Yes ☐ No

3.4.2 Have you been involved in an arbitration claim involving an allegation of:
☑ damages in excess of $2,500 that resulted in an award or finding of liability
☐ involvement in an investment or investment-related business or activity
☐ fraud, false statement, or omissions
☐ theft, embezzlement, or other wrongful taking of property
☐ bribery, forgery, counterfeiting, or extortion
☐ dishonest, unfair or unethical practice

3.4.3 Please provide details related to above mentioned arbitration claims that will be included in your ADV 2B:
I vehemently denied any wrongdoing and asserted that the customer's allegations were completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution. It was resolved by way of a repurchase of the securities involved at NAV.

3.4.4 Have you been the subject of a bankruptcy petition?
☐ Yes ☑ No

3.4.6 Have you been involved in a customer complaint or legal or disciplinary event that you have not yet disclosed that is material to a client's or prospective client's evaluation of your integrity?
☐ Yes ☑ No

4 Other Business Activities (OBAs)

The following questions ask about any outside business activities that are investment-related or provide a substantial source of income or involve a substantial amount of your time.

4.1 Are you involved in any investment-related OBAs?
☑ Yes ☐ No

4.2 Are you involved in any non-investment-related OBA that provides a substantial source of your income or involves a substantial amount of your time?
☑ Yes ☐ No

Policy
If a non-investment-related OBA represents less than 10 percent of your time and income, you may presume that the OBA is not substantial and that you don't have to disclose it.

4.1 Investment-related OBAs

Policy
You must disclose all investment-related OBAs. There is no requirement for them to take a substantial amount of your time or generate a substantial amount of your income.

4.1.1 Are you a registered representative of Centaurus?
☑ Yes ☐ No

Policy
The following information will automatically be populated into the final version of your ADV 2B:

"I am engaged in the following investment-related business activities in addition to serving acting as an investment adviser representative of Centaurus. I recognize that these activities may raise conflicts of interests. I have described how I address them and any compensation I receive from these activities:

I am a Registered Representative of Centaurus, which is a registered broker/dealer and a member of FINRA and SIPC.

My affiliation with Centaurus creates limited potential material conflicts of interest for advisory clients because my commissions are customary and competitive for the marketplace. However, brokerage services may be available elsewhere at a lower cost. At no time is any client obligated to purchase securities through Centaurus.

I receive no additional economic benefits that could create a material conflict of interest that I have not included below."

4.1.2 Are you associated with a registered investment adviser other than Centaurus. (outside RIA)?
☐ Yes ☑ No

4.1.5 With what securities regulator is the outside RIA registered? (please check all that apply):
not answered

Policy

The following information will automatically be populated into the final version of your ADV 2B:

"I am also affiliated with another registered investment advisory firm, named <

Policy
For your outside RIA, your disclosure of cash compensation should match what is on your Form ADV 2A for your outside RIA.

4.1.13 Are you registered, or have an application pending to register, as a broker/dealer, registered representative of a broker/dealer other than Centaurus, futures commission merchant (“FCM”), commodity pool operator (“CPO”), commodity trading adviser (“CTA”), or an associated person of an FCM, CPO, or CTA?
☐ Yes ☑ No

Policy
The following information will automatically be populated into the final version of your ADV 2B:

"I am not a registered or have an application pending to register as a broker/dealer and I am not a registered or associated person of a futures commission merchant, commodity pool operator, or commodity trading adviser."

4.1.15 Are you a pension consultant, working at a bank or thrift institution, a real estate broker or dealer, or involved in any other investment-related OBAs not yet disclosed?
☐ Yes ☑ No

4.1.17 Do you have any additional Investment-related OBAs to disclose?
☐ Yes ☑ No

4.2 Non-Investment-Related Business Activities (OBAs)

Please describe each non-investment related OBA you engage in. Below is a table available for you to list as many records as necessary. Click "New Record" to open the table and begin entering the field(s). If you have multiple entries, click "Save and New" to enter a new record. If you only have one entry (or after your last entry), click "Save and Close." At any time, you can click "Back to List" to see what entries you have entered. If you click "Back to List" before saving your entry, the information will not be saved. You can SELECT an entry to "Edit" it, or simply "Delete" any unnecessary entries.

4.2.1 Non-Investment OBA:

Description:	*NEWPORT HARBOR WEALTH MANAGEMENT, NON-INVESTMENT RELATED, 18012 COWAN, STE 200, IRVINE, CA 92614, DBA FOR BRANDING PURPOSES, WEALTH ADVISOR, SINCE 5/6/2013, DEVOTED TIME IS 100 HRS A MONTH, FINANCIAL PLANNING, RETIREMENT PLANNING AND INVESTMENT MANAGEMENT.*
Conflict of Interest:	No *N/A*

Description:	*WEALTHRHINO, NON-INVESTMENT RELATED, 18012 COWAN, STE 200, IRVINE, CA 92614,DBA FOR BRANDING PURPOSES, WEALTH ADVISOR, SINCE 8/1/2021, DEVOTED TIME IS 100 HRS A MONTH, FINANCIAL PLANNING, RETIREMENT PLANNING AND INVESTMENT MANAGEMENT.*
Conflict of Interest:	No *N/A*

5 Additional Compensation and Supervision

Additional Compensation:

Policy
The following language will appear on the final version of your ADV Part 2B Brochure Supplement:

"As an advisory associate and/or registered representative of Centaurus Financial, I may receive additional benefits in addition to fees or commissions for selling or promoting certain products or services. The benefit received may be in the form of travel reimbursement for attending a product sponsor's conference or other economic benefit which may or may not be monetary. Any such arrangement is monitored by Centaurus and is within regulatory limits."

"Also, as an Independent Contractor to Centaurus Financial, I am neither a salaried employee nor do I receive a bonus as a result of business production. Centaurus may, at its discretion, subsidize my attendance at firm sponsored events and/or educational seminars."

Supervision:

Policy
The following information will automatically be populated into the final version of your ADV 2B:

"In providing advisory services, such services shall be provided pursuant to the investment management agreement, financial plan agreement, or other agreement which may be executed as between me and my client(s). Such agreement will also discuss as applicable the appropriateness of any investment related advice, product or service."

"In addition to the review parameters set out in the client/Adviser agreement, I am supervised by Centaurus at several levels. Such supervision includes an annual attestation that I understand the policies and procedures relating to my advisory services offered through Centaurus Financial, Inc. At the client level, a principal of Centaurus Financial, Inc. reviews all account opening paperwork before an account is opened. Additionally, I am supervised by a regional compliance officer and my office is inspected at least annually which includes a review of sample client files in addition to auditing for compliance with firm policy and procedures."

5.1 Supervisor Name: *David Andersen*

5.2 Supervisor Title:
Regional Compliance Supervisor

5.3 Supervisor Phone #: *(714) 456-1790*

6 Signature

By typing my name below for this Form ADV Part 2B, I certify that the information and statements made in this Form ADV Part 2B are true, complete, and accurate. I understand:

- That any disclosures made that are inconsistent with information on my Form U-4 requires update to my Form U-4 before the Part 2B will be approved for use;
- That certain new disclosures may require me to complete and submit new forms before I can have the Part 2B approved; and
- That I must deliver during the account opening process the Form Part 2B along with a Form ADV Part 2A or other disclosure document.

6.1 Signature: *Royce Running*

To SUBMIT your ADV Part 2B Brochure Supplement:

1. After answering all applicable questions, click the "Continue" button on the upper right hand side of the screen.

2. After clicking the "Continue" button, you will be directed to the "Status" page.

3. Change the status to "Submitted" by clicking the radio button. Then click the blue link "Click here to set selected assignment status". After clicking this link, a small window will appear and ask you to confirm the status change. Select "OK" to proceed. Your ADV Part 2B Brochure Supplement is now submitted for approval by either your Supervisor or Compliance Department.