

Item 1 Cover Page

06/22/2022

Part 2B of Form ADV: Individual Disclosure Brochure  
For  
R. Douglas Falk  
CRD# 1301410  
Investment Adviser Representative

This brochure supplement provides information about *R. Douglas Falk* that supplements Centauri Advisory Group, Inc. brochure. You should have received a copy of that brochure. Please contact *R. Douglas Falk*, Investment Adviser Representative if you did not receive the Centauri Advisory Group, Inc. brochure or if you have any questions about this supplement. Additional information about *R. Douglas Falk* is available on the SEC's website [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

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ZELIENOPLE, PA 16063  
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## Item 2 Educational Background & Business Experience

Name: R. Douglas Falk Born: 1959

Education Background:

North Hills High School – Pittsburgh PA

Robert Morris College Supervisor Training Courses - non degree

Certificate in Financial Planning from the College for Financial Planning.

Accredited Asset Management Specialist from the College for Financial Planning

The **Certified Financial Planner** (CFP) designation is a [professional certification](#) mark for [financial planners](#) conferred by the [Certified Financial Planner Board of Standards, Inc. \(CFP Board\)](#)<sup>[1]</sup> in the United States, Financial Planners Standards Council in Canada<sup>[2]</sup> and 18 other organizations affiliated with Financial Planning Standards Board (FPSB)<sup>[3]</sup>, the international owner of the CFP mark outside of the United States. To receive authorization to use the designation, the candidate must meet education, examination, experience and ethics requirements, and pay an ongoing certification fee.<sup>[4]</sup> The information relates specifically to CFP certification in the United States

Business Background:

2011 - Present CFO of Centauri Advisory Group, Inc.

2007 - 2011 Registered Rep. Trustmont Financial Group

2007 - 2011 IAR Trustmont Advisory Services

1997 – 2013 Present Series 53 Municipal Securities Principle

1991 – 2006 Registered Rep. Olde Economie Financial Consultants

## Item 3 Disciplinary Information

There have been no disciplinary events.

## Item 4 Other Business Activities

*R. Douglas Falk* is also licensed to sell insurance products. The insurance product may generate a commission to the insurance agent who is also an adviser. Insurance products offered can be but are not limited to life insurance, annuities, indexed annuities, health insurance, disability insurance and, long term care insurance, in the state of PA.

*R. Douglas Falk* is also a registered Tax Preparer with a PTIN number P00915780 for which compensation is also earned. Income tax planning, as well as inheritance tax and estate planning are part of the complete tax services provided.

*R. Douglas Falk* is President of Zelig Property Management Inc. a C-Corporation that owns and manages the office building at 310 S. Main St Zelig PA. There is no conflict of interest or compensation.

*R. Douglas Falk* has an arrangement with WealthVest in Bozeman, MT which provides a variety of fixed and life insurance products to meet the client's needs. Compensation is received in the form of commission and renewal fees. There is no conflict of interest.

#### Item 5 Additional Compensation

*R. Douglas Falk* does receive compensation from the fees charged to his Tax clients. Professional services and fees of *R. Douglas Falk's*, Tax Preparer, are entirely separate and distinct from CAG's investment advisory services and fees.

*R. Douglas Falk* may receive compensation from the commissions earned from any insurance clients. Professional services and fees of *R. Douglas Falk's* Insurance practice are entirely separate and distinct from CAG's investment advisory services and fees.

#### Item 6 Supervision

Centauri Advisory Group, Inc. has created policies and procedures reasonably designed to prevent violation of the Investment Advisers Act of 1940 and the rules that the Security and Exchange Commission have adopted under the Act. *R. Douglas Falk* and all IAR's under Centauri Advisory Group must adhere to all policies and procedures adopted by the firm. These guidelines include but are not limited to: As an investment advisor representative, *R. Douglas Falk* must provide advice that is in the client's best interest and must not place his interests ahead of the client's interest under any circumstances. *R. Douglas Falk* must follow specific fiduciary obligations when dealing with clients, obligations such as but not limited to: the duty to have a reasonable, independent basis for the investment advice provided, the duty to ensure that investment advice is suitable to meeting the client's individual objectives, needs and circumstances and a duty to be loyal to clients. Engaging in any fraudulent or deceitful conduct with clients or potential client is strictly prohibited. Examples of fraudulent conduct include but are not limited to: misrepresentation, nondisclosure of fees and/or misappropriation of client funds.

*R. Douglas Falk* is supervised by Kevin E. Phillis, CEO and C. Scott Ellis, CCO, officers of Centauri Advisory Group, Inc. Contact information is on the cover page of this supplement.